EXECUTIVE RESPONSIBILITY

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Executive Responsibility

AN ANALYSIS OF EXECUTIVE RESPONSIBILITIES IN THE WORK OF VOLUNTARY, COMMUNITY SOCIAL WELFARE ORGANIZATIONS

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Ray Johns

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Dedicated to
Florence G. Johns
who knows from close observation
what executive responsibility requires.

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Author's Preface

THE PURPOSE OF THIS BOOK is to analyze in direct, practical terms the responsibilities faced by executives in community service organizations, and to relate to these responsibilities the growing body of knowledge and insight about administration which has been developing in recent years.

Significant changes have been occurring in administrative theory and practice. Great corporations and other large organizations have been decentralizing their activities. Responsibilities are being widely distributed. Administration is becoming regarded as the process through which people work together.

Both practical experience and applied social science are revealing new insight about the human relationships involved in organizational activity. A new literature on administrative practice has been developing, for research centers have produced a number of significant volumes based on field studies, and other students of administration have published books analyzing administration in governmental agencies, educational institutions, and social agencies. These materials are now extensive. They have been studied carefully, and the relevant experience has been distilled and applied to the work of social agencies.

The problems and responsibilities of executives in all types of social agencies, particularly smaller agencies, have been kept in mind. The practices and principles discussed, however, are also applicable to larger organizations.

Every effort has been made to make this book of practical value to social agency executives. Their day-to-day responsibilities are considered in operational terms. Principles have been sought through examination of actual responsibilities. The administrative process itself is analyzed and its component elements are discussed. Factors such as communication, decision making, community action, authority and leadership, and widely distributed satisfactions are given particular consideration. The role the executive plays has been used as the focus of the discussions.

The author's indebtedness to innumerable sources, authors and publishers, is hereby expressed. The influence of other students of the administrative process, and particularly their writings, is noted in various footnotes. Several colleagues also gave valuable assistance: Jay A. Urice, who helped to develop the plan for the volume; Clifford M. Carey, Alden Eberly, Edwin C. Johnson and J. G. Lamont, who read critically large sections of the manuscript. Miss F. N. Freeman typed and retyped the copy. James Rietmulder, Director of Association Press, invited the author to embark on the writing and guided the development of the book.

The indispensable contribution of the author's wife is recognized, all too inadequately, in the dedication of this volume to her.

In preparing *Executive Responsibility*, the author has tried to utilize the most valid and relevant experience available in the literature of organization and management, in the social sciences, and in the experience of different types of community service organizations. The author's personal practical experience in administration and in teaching has also been drawn on extensively. The materials here presented are inevitably colored by that experience and by his own philosophy of work with people.

They are presented in the hope that the administration of the extensive and vitally important services which social agencies provide may be made increasingly more effective.

RAY JOHNS

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PART ONE

Introduction and Background

CHAPTER ONE

On Becoming an Executive

When a person becomes the executive of an organization, he assumes a complicated set of responsibilities. He must see the organization as a whole. He works with the board of directors, which sets major policies and oversees the total operation. He becomes concerned with the competence of the entire staff. He is responsible for the quality of the services. The resources must be kept adequate: pay rolls must be met regularly, and bills paid promptly; physical plant and equipment must be kept up-to-date and functioning satisfactorily. A wide set of relationships, within the organization and in the community, must be maintained.

Working with and Through Others

The major shift that a new executive may have to make is to restrain his tendency to do things himself and instead get more jobs done by others. It is a change in emphasis from the competent completion of his own projects to the increased competence, responsibility, and satisfaction of others. It is a shift in emphasis from personal production to the production of others.

In business and industry, recognition and promotions come primarily as a person becomes more competent in a specialized job or field. Individual output and expertness, measured both in quantity and quality, are the primary measures of competence. In education, teaching ability and competence in a specialized field of subject matter or skill are the major standards by which work is measured.

Social workers are trained primarily to provide social services, not to carry executive responsibilities. Their professional education is focused chiefly on case work or group work or community organization. Many of them concentrate further on specialized services, as medical or psychiatric social workers, or as family or children's or youth agency workers. Group workers and community organization workers may get a somewhat broader and less specialized training. Some emphasis on supervision is usually given all specialists, but the broader role of executive responsibility is left to be acquired primarily through experience.

After they begin their work, most social agency staff members find themselves with some executive responsibilities. They become case work supervisors and must guide the work and development of others. Group workers must learn to supervise volunteer club and activity leaders. Some become heads of departments before long. Most social workers are soon related to committees and help to make plans. Some of them get a measure of experience with budgets and other aspects of financial administration. Social workers inevitably get a certain amount of experience in executive work, but all too often the in-service training provided in social agencies inadequately prepares specialists to become agency executives.

An executive works chiefly with and through others. His basic skills are skills in working with people, to help them function effectively.

The shift to executive or managerial responsibilities is a difficult one. Lawrence A. Appley, commenting about industrial organizations, says, "Often the weakest link in an organization is the department through which a chief executive has progressed. . . . There is the head of the engineering department who has refused to change from an engineer to a manager; the sales manager who always remains a salesman; the personnel administrator who is primarily a training or a wage and salary expert. . . . The manager who is doing a full-fledged job no longer has the time, with his added responsibilities, to continue operating as a specialist. Management is now his speciality, and he cannot be both an effective manager and a specialist."[1]

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[1] Lawrence A. Appley, *Management News,* August, 1953 (American Management Association, New York, N. Y.).

The change in emphasis from an expert in specialized services to an expert in working through others is also difficult for social agency executives. Case workers, group workers, family service, children's service, and youth workers often find it difficult to realize that specializations progress. Executives with heavy managerial responsibilities cannot keep up with the details of new developments.

The problem is further complicated in small agencies because executives often have to carry both executive and direct-service roles. Doing or directly supervising case work or group work, while carrying over-all responsibility for the agency's work, requires not only versatility but careful planning and it is also likely to demand more time and energy than most people have. Fortunately, executive work can be kept "streamlined" in small agencies, but at best it is only a partially satisfactory solution to the dilemma.

A basic problem, moreover, lies in the fact that more is known about how to develop skill in producing services or products or sales than how to develop skill in helping others to do so. Just as there is more known about how to sell than to get salesmen to sell, how to handle financial problems than to get others to handle them well, so there is more known about how to be a skilled case worker or group worker or community organization worker than is known about how to help other people to become proficient in these fields. More is known, however, than is generally being used. More understanding and more skill can be achieved by executives and other supervisors if they focus their energies primarily on learning to work with and through others.

Sound Administration, Vital

When a person takes on major executive responsibilities, he must also recognize how important administration has become. Sound administration is vitally important in all types of organizations, in business and industry, in government, in education. It is no less vital in community service organizations.

IN INDUSTRY, GOVERNMENT, AND EDUCATION

Executive or managerial skill has come to be more and more highly regarded as business and industry have grown and as competition has increased. Skill in getting goods produced and sold, and skill in controlling costs have always been considered important. New dimensions have recently been added—or, at least, emphasized. Industry now values ability to develop manpower, particularly supervisory and executive personnel, ability to maintain morale and increase productivity, ability to deal with labor organizations, governmental bodies, and other influential local community groups.

Administrative skill has also become more important in government, as units have increased in size and in variety of functions. The costs of government, too, have emphasized the importance of effective administration.

Schools have grown in size and have broadened their functions, and so competent executive leadership has become correspondingly vital. More children and young people and adults now attend schools because the population itself has constantly increased, and a larger proportion of the population seeks education. The functions of schools have expanded: from providing the "fundamentals of education," schools now reach into every phase of living, thus bringing the need for increasing specialization. Educational administration has become complex, with resultant increasing costs; it is now a specialization in itself. More effective and more efficient administration has become a necessity.

IN COMMUNITY SERVICE AGENCIES

Improved administration, with competent executive leadership, has also become of central importance in social work. At least five factors, as explained below, have been responsible:

1. *The size of social welfare services, and the large number of organizations which provide them, have made improved administration important.* America spends, it has been estimated, a total of 2½ billion dollars annually on its social welfare services. "Social work is big business in two respects," David G. French has written: "it costs a great deal of money and it

affects a great number of people. Social work's growth to its present size is recent, the bulk of it occurring during the past twenty-five years. This helps account for the fact that many people are not aware of the role this field of activity has come to play in community and national life."[2]

Social welfare services vitally affect the lives of millions of people. The proportion of people in any one community is large. "Today some measure of the welfare of two-thirds to three-quarters of the families in a community may depend in a single year upon the manner in which its health, welfare, and recreation services are provided."[3]

2. *The nature of the services indicates their importance to the community and the necessity for proper administration.* These community services deal with economic dependency—providing food, shelter, and clothing for families unable to secure them by their own efforts, with problems of personal and family maladjustment, with problems of physical and mental health, with the problems of using leisure time constructively. The services are vital to millions of people in large cities, in smaller urban communities, in towns and villages, and in rural areas.

3. *Social welfare services have become increasingly complex.* Numerous specializations have developed: family case work, medical and psychiatric social work, child care services, group work, informal education and recreation, community organization services, and others. Social work has moved toward becoming a profession: technical skills and higher standards of performance have developed, standards for personnel have been raised, and professional education has become more extensive. This growing professionalization and specialization has added to the necessity for improved administration.

4. *Community-planning and central-financing organizations, such as community chests and community welfare councils, have influenced administrative practices in social agencies.* Thorough planning of services to meet human needs, based on

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[2] David G. French, *An Approach to Measuring Results in Social Work* (New York: Columbia University Press, 1952), p. 12. Used by permission.

[3] Bradley Buell and Associates, *Community Planning for Human Services* (New York: Columbia University Press, 1952), p. 7.

accurate facts and joint analysis, has been emphasized. Studies and surveys help to adapt services to changing community needs. More effective budgeting and accounting practices have been required.

5. *The focus on more effective administration in business and industry, in government, and in education, has influenced administration in community service organizations.* Industrial and educational executives serve on the boards of many social agencies and community chests. The results of studies of administrative practice have become available, thus giving social agencies access to the experience of other fields of work. They find themselves inevitably under pressure to improve the quality of their administration.

Developing Skill in Areas of Executive Responsibility

Executives of social agencies have to become competent to deal adequately with a variety of practical, day-to-day responsibilities. These responsibilities are all interrelated, but they fall naturally into areas or groups. In summary, they are such areas as these:

Keeping the organization strong. This involves some understanding of what organization is—how specialized services and lay-professional efforts can be fitted together—what the essentials of sound organization are.

Working with boards and committees. The purposes and functions of boards must be understood. Executives must learn how to help develop strong boards and committees, and how to help them function effectively.

Selecting and developing an able staff. Professional staff services, undergirded by the efforts of other employees, largely determine the quality of a social agency's work. A major part of an executive's time must be devoted to selecting, directing, and developing staff.

Keeping the services effective. Maintaining services of high quality, appropriate to the agency's purposes and consistent with current community need, is a major executive responsibility.

Securing and handling finances. Securing adequate funds, having them available when needed, using them only for authorized purposes, accounting for them accurately and completely, are responsibilities which should be shared with others, but which can never be fully delegated.

Operating buildings and other facilities. Many community service agencies own and operate extensive properties. All social agencies use some facilities. Property always involves problems of operation and management. Executives need to learn how to deal with such problems efficiently, without becoming unduly absorbed in them.

Maintaining effective community relationships. A variety of community relationships are inevitable for social agencies. These agencies serve community groups and use the resources of other organizations. They must make their work known, for they need community support. Executives must guide these relationships.

Part II of this book examines these responsibilities which executives face. Each chapter explores the problem, as it applies to different types of social agencies, and suggests practical ways to deal with it. Wherever the experience in related fields applies—such as industry, education, or government—it is utilized.

Understanding the Administrative Process

Social agency executives not only need to be able to deal, from day to day, with practical operating problems that confront them: they must come to understand the administrative process itself. Critical analysis of executive experience is a sound basis for understanding the dynamics of a process and for developing a philosophy of administration.

The chapters of Part III deal with various aspects of the administrative process. A number of elements inherent in the process are considered. These aspects of the administrative process cut across specific areas of executive responsibilities. They sometimes involve board and staff relationships, program and finance, community relationships—all at once. They are seemingly problems that never get solved, at least completely, and yet they cannot be ignored. They include matters like the following:

How can effective communication and wide participation be achieved throughout the organization? How keep fresh, invigorating ideas floating around? How keep everyone vitally interested and taking part in agency affairs?

How get decisions made—with wide participation, yet with dispatch?

Can administration be made both efficient and democratic? If so, what methods can be used?

How can the purposes of the organization and the processes and methods used be made more consistent?

What kind of authority is appropriate? How can it be blended with leadership and responsibility?

Can lay and professional experience be integrated more effectively? Both are needed, but they sometimes seem to get in each other's way.

How can satisfactions be distributed throughout the organization?

Recent writings on administration, based primarily on the experience in industrial and governmental organizations, throw considerable light on these issues. Some of the studies made by university research teams, many of which draw heavily on the social sciences, will also be utilized.

Developing a Point of View

A person who takes on major executive responsibilities finds that he inevitably develops a basic point of view about administration and executive responsibility—a point of view which becomes, in many cases, a philosophy of administration.

This book is written from a specific point of view. It is set in the framework of a certain philosophy about administration and about how executive responsibilities can best be carried out. Six of the underlying premises are briefly stated here to help readers understand more quickly and fully the materials which follow, and to help them evolve or further clarify their own point of view:

Administrative processes and executive responsibilities must be consistent with the purposes of the organization—consistent with the services themselves. The purpose of administration and the purposes of the organization are, in fact, identical. In other words, the purpose of administration is to translate organization purposes into action.

The processes and methods used largely determine the quality of the services. Means used are interwoven with the ends which are sought.

Sound administration can provide for wide participation. Planning and carrying out plans can involve most if not all of the people in any organization, in different ways and in varying degrees.

Administration can and should be efficient. It can "get things done"; it can use time and energy and funds well, and, at the same time, make use of democratic methods.

Effective administrative processes, and the skills of executive leadership, can be learned by most people.

Executive leadership is based on knowledge and insight: (a) about individuals and groups, (b) about organizations as social institutions, (c) about the services the organization seeks to provide.

Administration and executive responsibilities are never static. Organizations are, in fact, groups of people. Executive work consists, essentially, of constantly changing human relationships.

Executive leadership involves working with others and working through others. At its best, it evokes participation and develops the skills of others. It deepens their sense of responsibility and at the same time increases their sense of satisfaction. It is receptive to new facts, new methods. It identifies new problems and develops consensus of judgment about best ways to deal with them. Executive leadership gets people to act—together.

CHAPTER TWO

Changing Emphases in Administration

Over the long period during which administrative practices and patterns have been evolving, striking changes in emphases have occurred. In recent decades, extensive literature on administration has been appearing, and a fairly clear theory of administration has been evolving.

The development of administration, with special attention to changing emphases, will be discussed briefly in this chapter, as further background for consideration of areas of executive responsibilities and of the administrative process itself. This time-perspective on how current practice and thinking have developed can aid our day-to-day judgments.

Administration is as old, in one sense, as human history itself. The very first efforts of people to work together involved some organization and hence some executive direction. In broad terms, administration has progressed from simple, organized efforts to complex, large-scale organizations. It has moved from production of simple articles, using simple tools and simple methods, to the production and use of complicated articles and equipment. It has moved from an emphasis on producing goods efficiently and economically, to a paternalistic concern for employees, and on to a concern for human welfare which relates efficiency to worker-satisfaction. Such changing emphases, and many more, can be discerned as the development of administrative practice over the years is examined.

Early Developments and Emphases

A number of landmarks can be easily identified in the early efforts of people to work together.

Egyptian papyri, dated around 1300 B.C., reveal that there was a recognizable system of large-scale administration in ancient Egypt.[1] Ramses III issued great decrees and provided for division of labor involving large groups of people. He appointed tax officials, boatmen, archers, and collectors of honey; he designated slaves as watchmen of the harbor and the canal. The Pharaohs developed a highly elaborated administrative and economic organization. It was a system of personal and bureaucratic administration, with state agents exercising little discretion. This Egyptian "planned economy" influenced both the Byzantine Empire and the Ottoman Empire, as they developed the bureaucracies which characterized their administrative systems.

In the history of the ancient Hebrews some of today's accepted principles of organization may be seen. For example, the advice Jethro gave to Moses, his son-in-law, indicated that he understood the importance of enunciating policies, selecting competent leadership, and distributing responsibility.

> "What you are doing is not good," Jethro cautioned. ". . . the thing is too heavy for you; you are not able to perform it alone. . . .
>
> "I will give you counsel. . . . Teach them the statutes and the decisions, and . . . what they must do. . . .
>
> "Choose able men . . . who are trustworthy . . . as rulers of thousands, of hundreds, of fifties, and of tens. . . .
>
> "Every great matter they shall bring to you, but any small matter they shall decide themselves; so it will be easier for you, and they will bear the burden with you."[2]

Jethro evidently believed that the statutes and regulations (policies and procedures, in today's administrative terms) should be given to people, without an opportunity for them to help in the formulation. His advice about selecting executive assistants and about dividing the people into groups was apparently merely a convenience to help Moses carry his heavy administrative load. It did, however, involve units of work and delegation of authority, at least for minor matters. It reveals some of the early roots of organizational theory and practice.

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[1] See Albert Lepawsky, *Administration: The Art and Science of Organization and Management* (New York: Alfred A. Knopf, 1949).

[2] Exodus 18:17-22, Revised Standard Version of the Bible, 1946. By permission of National Council of the Churches of Christ in the U. S. A.

Ancient China also provided a good deal of the early experience with administration. The problem of government, in which administration was obviously essential, was central to the Confucian philosophy and to the culture of ancient China. Confucius, living some five hundred years before Christ, wrote about politics and government, as well as about moral philosophy and ethics. Micius, a contemporary of Confucius, also wrote about administrative methods. A man called Chow or Chou, six hundred years before Confucius, developed a manual for the government and administration of China, in which he outlined different departments of government and defined their functions. He adopted regulations so that departments would be efficient and their relationships with each other would be co-operative. He established provisions for accountability, with penalties for violations and plans for audits. Some of these same emphases may be noted in current administrative practice.

Some of the geneses of modern concern for democratic administration may be detected in the experience of the early Greeks. Pericles, in his Funeral Oration, stated that their government was called a democracy because its administration was in the hands of the many, not the few; that all shared in considering and deciding public policy; that men in public service were highly regarded. The electorate in the Athenian democracy, composed of men over eighteen years of age, born of Athenian parents enrolled in the citizen class, were said to be a thoroughly democratic group. (Some definite restrictions of citizenship, and hence, restrictions on participation, may be noted.) The electorate included, however, country gentlemen, business men, craftsmen, farmers, and day laborers. Every policy was formulated by the assembly, in the deliberations and decisions of which every citizen shared. Socrates and Xenophon have been cited as authorities that the Greeks considered good management essential to the good state.

Large-scale administration was developed to a high degree by the Romans. They administered large realms more methodically than did the Greeks. They established a paid civil service under Augustus, about 25 B.C. Cicero urged men who had the capacity for it to take part in government, and to remember Plato's rules: to keep the good of the people clearly in view, regardless of their own interests; to care for the body politic and not to serve the interests of some one party. He emphasized the importance of the work of magistrates, who were informed about the limits of their administrative authority and who were supported by citizens instructed about their obligations to obey them. The Romans evidently knew much more about how to administer their own civil affairs and those of their colonies than they did about how to keep their well-known military organization functioning effectively.

Further large-scale administrative experience developed during the Middles Ages, when extensive royal domains, ecclesiastical provinces, and feudal manors had to be administered. The mediaeval church was concerned with the management of a great deal of property and finances. In the administrative system which developed, ranks, rights, and responsibilities were clearly outlined. Military organization, during this period, was developed on the authoritarian basis previously established in governmental and ecclesiastical circles, with a hierarchy of relationships and power running down from the commander-in-chief through gradations of officers to the lowest private in the ranks. Not only direct warfare itself but the supplying of food, clothing, and implements of war involved enormous administrative burdens. Military organization, as developed during this period, has been considered the first modern administrative system. Many of its elements can be identified in current administrative practice, not only in military circles but in large-scale industry and in government. Many of the concepts, however, are now coming under critical scrutiny.

A group of German and Austrian professors and public administrators, known as the Cameralists, were influential factors in developing a plan of systematic administration. The foremost scholar in this group was Georg Zincke, a professor at Leipzig. Bibliographies for his courses listed over a thousand titles on the subject of administration. Cameralism, which was at the height of its development in the seventeenth century, was primarily an administrative technology. It outlined many of the more important elements in the Prussian system: the administration of charity, medical and sanitary institutions, the establishment and regulation of many industries, the selection of able young men as administrative subordinates, and the administration of justice.

Later Influences and Emphases

The Industrial Revolution changed ways of living—working, playing, thinking—and had a profound effect on administrative practice. Many new inventions and developments—spinning machines, steam engines, macadam roads, steamboats, railroad locomotives, reapers, electric dynamos, telegraphs, sewing machines—marked the trail of industrial progress. Industry moved from the home to the factory.

Great changes took place in the home life and community life of workers. Many people moved to the cities from the country and from villages, where they had been neighborly with each other, where they had worked together and cared for each other when ill, where they had attended the same church, where they had raised their food and made their own clothing. The cities, which sprang up around the factories, provided quite different living conditions: housing was unsatisfactory; contagious diseases were difficult to control; wages were low; and women and children, as well as men, worked long hours. Labor conditions improved gradually. Some factory owners encouraged legislation regulating abuses. In 1825 a law was passed in England permitting laborers to organize, and labor unions began to help bring better wages and working conditions.

The Industrial Revolution, which has never ended, has eliminated much of the hard physical work and drudgery once done by hand. It has reduced hours of labor, improved working conditions, increased leisure, expanded communication. It has not only created great factories but developed vast corporations. It has created modern urban communities, with their resources and their problems. It has made modern community services necessary, new administrative patterns and new administrative concepts imperative.

Another major influence, which brought its own special emphases, was the scientific management movement. It had its inception in Charles Babbage's treatise on *The Economy of Manufacturers,* published in England in 1832, and was stimulated fifty years later by Henry E. Towne, the head of a large American industry. It took more definite form in 1903, however, with the presentation of Frederick W. Taylor's paper on principles of scientific shop management before the American Society of Mechanical Engineers.

The essence of Taylorism, as it came to be known, was the search for efficient operations in each individual mechanized process and in single industrial plants, based on his time-and-motion studies. His system, though heralded widely in technical circles, aroused widespread resistance. Fear, suspicion, and hostility for the "speed-up" developed. Serious strikes occurred, and in 1911 the House of Representatives, after holding hearings, enacted a rider to the military appropriation bill, since continually re-enacted, banning use of such funds for time-studies. It was essentially a conflict between American ideas of productive efficiency and democratic concern for individuals.

Louis D. Brandeis, better known as a lawyer and jurist, broadened and popularized the ideas of scientific management during the struggle for railroad control and higher rates. He contended that employees were enabled to earn more without greater strain, not by "speeding-up" but by eliminating unnecessary effort and thereby increasing production.

The American drive for efficient, systematic, and scientific management influenced government administration as well as industry. In 1907, the first bureau of municipal research was organized in New York City. It stimulated improvements in budgeting and accounting, personnel supervision, and procedural techniques. In 1911, the Commission on Economy and Efficiency, appointed by President William Howard Taft, brought similar influences to bear on the federal government.

Early management-labor experiments, the first of which was the Filene Co-operative Organization in 1898, have also influenced administrative relationships. The Baltimore and Ohio Railroad labor-management committee, organized in the early 1920's, is another early illustration of such experiments.

The rise of a strong labor movement in the United States, given great impetus by the passage of the Wagner Act in the mid-1930's, has had a major influence on industrial management practices. In most large industries, it is now said, "management no longer deals with individual workers." Wages are established and working conditions are determined after negotiation. Many of the larger unions have established welfare funds and services. Management responsibilities and management practices have been greatly changed.

The most creative contribution of American administration is said to be the device of an administratively powerful, yet democratically controlled type of executive. Alexander Hamilton was one of the first to advocate the role of a vigorous executive. Washington believed that the two great pillars on which the new country was to rest were the "free and equal representation of the people" and "an efficient and responsible executive." The broad distribution of stock ownership in many American corporations today has stimulated the development of a "managerial" group—who direct the work of the organizations, but who themselves own a relatively small proportion of the company's stock. This pattern of strong executive leadership, ultimately responsible to a widely dispersed "owner-group," has spread from industry to other types of organizations.

Two emphases have thus struggled for predominance: the American desires for *efficiency* and for *democratic control.* From its beginning, administration in the United States has represented a continuous effort to combine technical facility for proficient production and efficient procedures with an urge for democratic participation in the management of affairs. These emphases may be noted in modern conceptions of administration in organizations of all types in the United States—governmental, industrial, and community service organizations.

Emerging Emphases

Marked additions to administrative literature have been made during the last three decades. A clearer philosophy of organization and management, and a critical analysis of administrative practices have been emerging from the experiences of business and industry and government, and, to a more limited degree, of educational institutions and social agencies.

The first known list of administrative processes was published in 1925 by Henri Fayol, a French industrialist, in his *L'Administration Industrièlle et Générale.* In 1937, Gulick and Urwick assembled and published their volume, *Papers on the Science of Administration.* The next year, Barnard's first book, *The Functions of the Executive,* was issued, followed a year or two later by the famous Westinghouse studies, *Management and the Worker* and *Management and Men.*

A number of other significant publications were issued in the late 1940's, followed by Simon's *Administrative Behavior,* Mace's *Growth and Development of Executives* and other Harvard studies, Tead's *Art of Administration,* and others.

Such recent studies of administrative practices and of group relationships, and other current writings about administration, reveal insights and emerging practices which are likely to prove important for all types of organizations. A good deal of such material is utilized in later sections of this book, but for convenience, some of the more important emphases are summarized here.

One of the most obvious of the new emphases in administrative practice is the *broader distribution of responsibility.* Responsibility is being distributed, increasingly, throughout the whole range of personnel in some companies. Two factors have exerted a distinct influence in bringing this about: the growing trend toward physical *decentralization* of large industries and the persistent pressures for democratic *participation.*

Decentralization has become advantageous in many industries: nearness to an adequate labor supply in communities with satisfactory living conditions for workers, proximity of power and raw materials, transportation facilities, sometimes tax advantages. With many small plants, widely distributed, delegation of responsibility has become increasingly necessary. With improved communication and transportation, it has become more feasible to distribute responsibility and still maintain necessary co-ordination.

Pressures for democratic participation, by workers and by management, have also furthered distribution of responsibility. The roles of trade union leadership in negotiating contracts and handling grievances have placed more responsibility in the hands of more people. The growing belief of many management representatives that employees, in all parts of an organization, work more effectively and more happily as they share some responsibility, has given greater emphasis to the role of supervisors, department heads, and small plant managers, as well as to those of top-ranking operating and policy-making executives. Participation is thus being stressed. Delegation of responsibility and authority is coming to be understood as an *upward* and *horizontal* as well as a *downward* process.

This emphasis on broader distribution of responsibility, which is going on increasingly in many organizations, is summarized by one corporation executive in these terms: "Experience has demonstrated that the combined judgment, initiative, enterprise, and creativeness of a business organization produce a better end-result."[3]. Under what he calls "bottom-up management," he says, "the head of a business tries to release the thinking and encourage the initiative of all those down the line, so that ideas and impetus flow from the bottom-up, and the entire organization contributes in the fullest possible measure to the progress and profits of the enterprise. Ideas for the improvement of the company's products or service; ideas for advertising or sales promotion; ideas for effecting savings in time, money, motions, or materials; ideas for research or development programs; ideas for bettering working conditions —in short, ideas for making a better and more prosperous company—flow up from below."[4]

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[3] William B. Given, Jr., *Bottom-Up Management* (New York: Harper and Brothers, 1949), p. vii.

[4] *Ibid.*, pp. 3, 4. Used by permission.

Another closely related emphasis is that of the *"team"* or *"group approach"* in management itself. As companies have become larger and more complex, leadership and control by one person has become increasingly difficult. "The trend is obviously toward . . . some kind of team effort at the top management level," a recent study of corporations has reported. "The forms which this teamwork may take are . . . extremely varied, and the degree of its success is a question of evolution. . . . Top level functions have been distributed among a number of key executives. . . . The (senior) executive's goal is not so much the transmitting of knowledge as the cultivation of . . . teamwork. . . ."[5]

An effective management team depends on many factors. The personnel selected for it and their behavior in relation to other executives are critical elements. Full consultation, within the team and with other key executives and staff members, is essential. The senior executive himself must be the chief coordinator. This responsibility can rarely if ever be delegated. Top management teams are being more and more used in large corporations. They are applicable to small organizations. Relatively little attention, however, has as yet been given to ways in which they can be made most effective.

A third emphasis in current administrative practice is the *expansion of staff and other employee training and development plans.* Some of these plans focus particularly on the development of supervisory and executive personnel. Others include training for employees throughout the organization.

The development of executive personnel has become a critical need in business and industry. Myles L. Mace, after a study of twenty-five or more manufacturing companies, concluded that "one of today's most important problems is that of finding and developing administrators with the 'ability to think and act responsibly, to work co-operatively with others, and to provide others with opportunities to work effectively and with satisfaction within the group.' "[6] Technological developments have outstripped administrative knowledge and capacities to cope with changes. The "belated recognition of the fundamental importance of human beings in industry" requires new skills, new understandings of people in organizations. New types of executives are needed.

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[5] Edmund P. Learned, David N. Ulrich, Donald R. Booz, *Executive Action* (Boston: Graduate School of Business Administration, Harvard University, 1951), pp. 202-203; 187.

The rapid increase in the number of management training programs in various universities to which corporations send experienced, younger executives is an indication of the seriousness with which this problem is being faced. In 1951, four universities conducted such programs. By 1954, such training programs existed in over thirty universities. Some of the courses include both management and labor representatives. Some of the university schools of business administration, such as that at Harvard University, have two-year graduate courses for developing future executives, as well as short-term sessions for young but experienced executives assigned by their companies. Most of these schools also maintain a close liaison with industry through conferences, field studies, and research. The American Management Association conducts a series of seminars and workshops each year which involve several thousand business executives.

Many companies also conduct their own executive training programs. For example, the Mutual Life Insurance Company of New York conducts four different but related programs for executive development: the college training program, the management training program, the junior officer training program, and the senior officer training program. The college training program covers a three-year period for college graduates, who are selected on the basis of initial interviews at colleges and universities, further home office interviews, and tests to substantiate impressions about interests, intelligence, personality and aptitudes, and departmental interviews. Trainees are first assigned to two departments, on a rotation basis, and then join the Management Training Unit. Approximately fifty per cent of the first year is spent in the activities of this Unit, including conferences, lectures, training in conference leadership, and study of assigned reading material. Intensive instruction is given during the first three months in fundamentals of the life insurance business. The remaining fifty per cent of the first year is spent in the two departments to which the trainee has been assigned. In the second year, the trainee devotes his entire time to departmental work, rotating through three more departments at four-month intervals. For the third year, the trainee is assigned to a specific department and is given intensive training in its operations and practices. Most of the time is spent in one specific position. Specialization in one phase of the company's operations is begun, and courses designed to provide a comprehensive and exhaustive knowledge of the particular field are given.

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[6] Myles L. Mace, *The Growth and Development of Executives* (Boston: Graduate School of Business Administration, Harvard University, 1950), p. 189.

The management training program of the Mutual Life Insurance Company also includes employees who have been with the company for some time and who have indicated potential qualifications for higher responsibilities. Persons are assigned to this program full time for one year, after which they are placed in more responsible positions or returned to their previous positions until suitable vacancies occur. The training includes study of various aspects of life insurance, personnel management, and other aspects of administration. The junior officer training program is aimed to develop younger executives who have demonstrated abilities and characteristics necessary for advancement to more responsible positions. It furnishes continuous training to twenty junior officers for two years, without absorbing an undue proportion of their time. It consists of participation in the Junior Officer Council, assignment to insurance and investment committees, in departmental and divisional staff meetings, and a thirty-hour training course conducted by senior officers. The senior officer training course emphasizes the broader problems of company policy, primarily through interdepartment committees and conferences. Training plans similar to these are conducted in many other large companies.

Training courses for supervisors, including foremen, are conducted in many industries—some of them by management, some by labor organizations. Some such courses utilize discussion of actual cases brought in by participants. The conference method, rather than formal lectures, is more and more used. In some courses, a Supervisors' Training Manual is developed by the supervisors themselves, revised and rewritten by successive groups. Slides, exhibits, and sound filmstrips are sometimes used.

Training for workers in all types of positions is apparently becoming more general. For example, Sears, Roebuck and Company conducts an extensive program for several hundred thousand employees in all types of positions. A great many companies have induction programs for new employees. Some have education programs by which workers can have tuition paid for courses related to their work. The expansion of training and development programs has become a major emphasis in current administration.

A fourth emphasis in modern administrative practice is on *worker-satisfaction.* The pioneering study in the Hawthorne plant of the Westinghouse Electric Company emphasized the close relation that satisfying relationships among workers have to their productivity.[7]

More recent research has confirmed these findings and added to their insights. Studies have been made in a variety of situations, including the home office of an insurance company, maintenance-of-way section gangs on a railroad, an electric utility, an automotive manufacturer, a tractor company, an appliance manufacturer, and two agencies of the federal government.[8] Many of these studies have centered on supervisory relationships. It was found that supervisors with the better productive records were able to differentiate their own functions from those of the men supervised. They spent more time in planning their work, in performing special skilled tasks and in actual supervisory functions. Morale was generally higher among men having supervisors who performed a number of broad supportive functions. Workers in the high-production groups more frequently characterized their foremen as taking a personal interest in them and in their off-the-job personal problems. These supervisors were "predominantly employee identified" while the low-production supervisors, for the most part, were "management identified." Most of the high-production supervisors not only spent more time in actual supervision but also delegated more authority to workers. The studies seemed to indicate that the degree of group cohesiveness also influenced productivity, though some of the findings revealed instances of low morale and high productivity.

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[7] F. J. Roethlisberger and William J. Dickson, *Management and the Worker* (Cambridge, Mass.: Harvard University Press, 1939).

[8] Robert L. Kahn and Daniel Katz, "Leadership Practices in Relation to Productivity and Morale," *Group Dynamics: Research and Theory,* Dorwin Cartwright and Alvin Zander, Eds. (Evanston, Ill.: Row, Peterson, and Company, 1953), pp. 612-628.

Such recent research suggests that four sets of factors influence worker-satisfaction and productivity: the supervisors' ability to fill a role different from that of other workers, the quality of employee-orientation and supportiveness, the degree of delegation of authority or the closeness of the supervision, and the amount of group cohesiveness. Such factors are under continuous study in many organizations and are increasingly influencing administrative practices.

Human relationships among executives have also come to be recognized as of vital importance. A number of studies have been focused on them, particularly in relation to status, mobility, security, and similar factors.

A final current emphasis in administration might be termed that of *an analysis of the dynamics of the administrative process.* Organizations are coming to be regarded as groups of people doing certain things together. Administration is the purposeful organization of the efforts of people. Administration has been shifting its emphasis from structure and from problems to relationships among people. Administration is concerned primarily with what people do together—with how they do it—and with how they can work more effectively together. Administration is therefore a process of decision making. It relies on communication among people. It seeks a reinterpretation of authority and leadership. It experiments with relationships to find ways to increase democratic participation, and, at the same time, to develop efficient, effective ways to produce goods and to provide services.

Inherent in such emphases is a changing concept of leadership. Leadership is coming to be measured in terms of the growth in competence of the people who make up an organization. Leadership is regarded as a function, rather than as the rights or status of a position. It is a function which many people can perform, in different ways and in different degrees. Such concepts of leadership are influencing organizational practices and executive behavior.

These changing emphases in administration are not only becoming evident in business and industrial organizations: they can be seen in a growing number of community service organizations. Many of the early principles of organization and administration, such as division of labor, delegation of responsibility and authority, and the emphasis on efficiency, are still considered fundamental to sound administration. Many of the more recent emphases—wider distribution of responsibility, expansion of training and development plans, emphasis on worker-satisfactions, and analysis of the administrative process—are not only evident in community service organizations: they are, in many ways, particularly applicable to them. Social agencies, through their case work, their group work, and their community organization activities, have stressed the participation of people. Wider distribution of responsibility, participation in making and in carrying out plans have for years been inherent in social work philosophy, especially in dealing with clients and with members. Social work has emphasized training, particularly for their professional services; training for executive responsibility and for others throughout the organization has been less emphasized. Social work has emphasized process, particularly in its case work and its group work. The nature of social agency purposes and methods makes it logical that they apply, more generally, these emerging principles of administration.

SUGGESTIONS FOR FURTHER READING

(Note: Full documentation for all books is given in the Bibliography, page 233, alphabetically by authors or editors.)

GIVEN, WILLIAM B., JR., *Bottom-Up Management.*

KAHN, ROBERT L. and KATZ, DANIEL, "Leadership Practices in Relation to Productivity and Morale," *Group Dynamics: Research and Theory,* Dorwin Cartwright and Alvin Zander, Eds., pp. 612-628.

LEARNED, EDMUND P., ULRICH, DAVID N., and BOOZ, DAVID R., *Executive Action.*

LEPAWSKY, ALBERT, *Administration: The Art and Science of Organization and Management,* pp. 77-106.

ROETHLISBERGER, F. J., and DICKSON, WILLIAM J., *Management and the Worker.*

SAMPSON, ROBERT C., "Train Executives While They Work," *Harvard Business Review,* November-December, 1953, pp. 42-54.

CHAPTER THREE

The Essence of the Administrative Process

WHAT IS THIS PROCESS called administration? What are its purposes, its characteristics, its elements? The administrative process can undoubtedly be best understood through its concrete aspects, such as those which will be discussed in Part II, but it may be well first to examine some of its underlying concepts and essential elements.

The Purposes of the Process

The purpose of the administrative process, stated as succinctly as possible, is to facilitate the combined efforts of a group of persons brought together to achieve some common objectives.

Social agencies are, in effect, groups of people who seek common objectives. These purposes may be seen through a description of social work: "a professional service rendered to people for the purpose of assisting them, as individuals or in groups, to attain satisfying relationships and standards of life in accordance with their particular wishes and in harmony with those of the community."[1] Social work includes case work, group work, and community organization services which are related to economic dependency, to personal and family maladjustments, to ill-health, and to leisure-time services.

The purposes of administration in community social welfare services are closely related to the purposes of the organizations themselves. As Trecker has written, "The purpose of administration in an agency is the purpose of the agency itself."[2] He also stated, ". . . the quality of service rendered by a social work agency is definitely and explicitly affected by the kind of administration. . . ."[3]

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[1] Joseph P. Anderson, "Social Work as a Profession," *Social Work Year Book, 1947* (New York: Russell Sage Foundation, 1947), p. 513.

Social agencies, and the many people who combine their efforts in them, have many different purposes, as suggested in Chapter 15. The administrative process, as the ways by which these different purposes are achieved, has therefore a number of different purposes.

What Administration Is

Administration has been described and defined in many different ways by different writers—as a process, as a method, as a set of relationships with and between people working toward common objectives. It has been called "the process of transforming social policy into social action."

Trecker considers administration "a creative process of thinking, planning, and action inextricably bound up with the whole agency . . . a process of working with people to set goals, to build organizational relationships, to distribute responsibility, to conduct programs, and to evaluate accomplishments."[4]

Tead defines administration as "the process and agency which is responsible for the determination of the aims for which an organization and its management are to strive, which establishes the broad policies under which they are to operate, and which gives general oversight to the continuing effectiveness of the total operation in reaching the objectives sought."[5] Administration involves both a process and a structure.

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[2] Harleigh B. Trecker, *Group Process in Administration* (New York: Woman's Press, 1946), p. 14.

[3] H. B. Trecker, Frank Z. Glick, and John C. Kidneigh, *Education for Social Work Administration* (New York: American Association of Social Workers, 1952), p. 5.

[4] Trecker, *Group Process in Administration,* p. 14.

[5] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, 1951), p. 101

Pierrel writes succinctly, "Administration is the process by which objectives are established, policies are adopted, plans are made and carried into effect. It establishes and maintains conditions and relationships favorable to the achievement of the main objectives and goals. . . ."[6]

Stated simply, administration is the process of setting objectives and establishing policies, creating and maintaining an organization, making plans and carrying them out, evaluating the results.

Administration must be distinguished from organization and from management. *Organization* is the process of relating persons and facilities, in some systematic and effective co-ordination, in order to accomplish some desired purpose. The process of organization usually results in some form of structure that defines and gives direction to the relationships of people, in order that they may formulate objectives, make plans, and carry them into effect. *Management* is the process of directing and guiding the operations of an organization in realizing the aims which have been established. *Administration,* broader in scope than organization or management, includes the total process of determining purposes and policies, and of transforming them into action. The experience in action, in turn, influences policy.

Administration, so conceived, is an inclusive process, shared by everyone in an organization, for most people in an organization make decisions of some kind. Some of the decisions are admittedly limited in scope and in importance, affecting relatively few people, but the sum total of such decisions is influential; other decisions may influence the whole organization. Administration is therefore the responsibility of everyone in an organization—the board, the executive staff, the clerical and maintenance staff, the clients, the members. It is a task in which everyone shares in different ways, with different degrees of responsibility. It is a co-operative function, a pervasive function. Everyone participates in it; everyone is affected by it.

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[6] Gren O. Pierrel, Ed., *The Executive Role in YMCA Administration* (New York: Association Press, 1951), p. 8.

The Functions of Administration

The different aspects of administration have been classified in many ways by various writers—into elements, functions, methods, characteristics, or tasks.[7] These items fall logically, it seems to the writer, into five principal functions:

1. *Determining the purposes, aims, and objectives of the organization*
2. *Establishing the structure of the organization:*
   a. Its type—i.e., a nonprofit, community service, or profit-making enterprise
   b. Its "work units"—e.g., branches, departments, divisions
   c. Its provisions for clear delegation of authority and responsibility
3. *Directing the work of the organization:*
   a. By recruiting the necessary staff
   b. By assuring sufficient definition and standardization for all positions, so that quantity and quality of performance are assured
   c. By making provisions for necessary committees and conferences to achieve necessary co-ordination
   d. By stimulating and "energizing" all personnel; providing leadership; establishing and maintaining morale
4. *Evaluating accurately the total outcomes, in relation to established purposes*
5. *Looking ahead and forecasting, so that services are kept consistent with changing needs and resources*

These five major functions will now be commented on further, relating them particularly to the work of community service agencies. They will be considered also in later chapters on maintaining a strong organization, dealing with the board and with committees, selecting and developing a staff, handling finances, maintaining relationships, and other responsibilities which executives must consider from day to day. They are also inherent in the aspects of the administrative process which are discussed in Part III.

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[7] See Tead, *op. cit.*, pp. 102-105. See also articles on "Administration" in the *Social Work Year Book 1947* by Arthur Dunham, pp. 15-22, and in the 1951 edition by Harold Silver, pp. 19-25.

One: The purposes of an organization are described, initially, when the organization is established—through the articles of incorporation or charter, and through a constitution or set of by-laws, or, in the case of a public agency, in the authorizing legislation. Such statements of purposes, usually worded in general terms, are made explicit as the work of the organization takes form. Subpurposes develop; purposes change as services change, through a period of years. Aims and objectives are established officially by the board of a social agency. Executives take part in the formulation of policy, however, as they provide facts, clarify issues, make proposals, suggest action. Members and clients influence objectives and policies as their desires and needs become known. Aims and objectives assume reality as they become known and accepted throughout an organization and its larger community.

Two: The structure of the organization is ordinarily created, in general terms at least, in the provisions of the constitution and by-laws. Subsequent actions of the board and the executive staff further define the organizational pattern. The legal basis of the organization is usually set in the articles of incorporation or charter. An organizational chart, prepared by the senior executive and his associates, and approved by the board, is sometimes used to define the "work units"—the branches, divisions, or departments—and to indicate lines of responsibility and authority. Written "commissions" to sub-boards, to committees, and to staff members are frequently used to define responsibilities more explicitly. The relationships, and respective responsibilities, of the chairman of the board and president, or the president and chief executive officer, must be defined; and the roles of "staff" and "line" executives must be clear.

Three: Directing and overseeing the work of the organization is a responsibility of both the board and the executive and other supervisory staff members. The board gives general oversight, exercising this function through review and authorization of plans and approval of work accomplished. The senior executive gives closer oversight, personally and through his associates. He and the other executives provide the major direction. The board selects and employs the senior executive and holds him accountable for the over-all work of the organization. He in turn selects his top associates, usually with the approval of the board. Executives oversee work by means of reports, by conferences with staff members, and by their personal observation. The number of persons who should report directly to any executive or other supervisor (the "span of control" problem discussed in Chapter 5, page 61) varies with the type of work being done and with the capacity of the persons involved.

Sufficient definition and standardization of all positions and procedures are basic to effective working relationships.

Co-ordination among various staff positions, and among branches and departments, is achieved primarily through effective channels of communication; committees and conferences are among the most used methods to effect co-ordination.

Stimulating—"energizing"—the entire personnel of an organization is one of the most essential leadership requirements. Morale, soundly grounded in accepted purposes—a sense of "being on the team"—is fundamental. This function of directing and overseeing the work of an organization is one of the most important aspects of administration.

Four: Accurate evaluation of the total outcome, in relation to established purposes, is also a fundamental function of administration. Appraisal of over-all results is a primary responsibility of the board and of the senior executive staff, but it is a function in which members of the organization, at all levels, inevitably participate. Some measures of evaluation are reasonably objective: financial stability and growth can be accurately noted; balanced budgets and increases in assets are important in nonprofit organizations, and profits are in others; the volume of services, and changes in types of services, can also be noted. The quality of services and the adaptability to changing needs are more difficult to observe accurately. Evaluation (discussed in greater detail in Chapter 9, page 108) is a complicated process and involves many different approaches.

Five: Another function of administration is to look ahead and make forecasts, so that the work of the organization is kept consistent with changing needs and available resources. Organizations, like all other social institutions, tend to become static. Social agencies, whose services are likely to be interpreted in promotive, even eulogistic terms, are continually endangered by complacency. Energetic, analytic leadership is necessary since planning ahead, sensing new trends and emerging needs can bring a clear sense of direction. Long-range plans, kept flexible and subject to change, combined with more immediate steps, are a primary responsibility of "top leadership." All aspects of the work of an organization should be included: the services themselves, personnel, facilities, finances, branches, community relationships. At periodic intervals, senior staff executives and board members might well ask: In what directions are we moving? Are they sound directions? What changes might well be considered? What new resources—services, facilities, personnel—will be required to meet new situations on ahead?

Components of the Administrative Process

The administrative process can also be understood in terms of its component elements.

Decision making, considered in detail in Chapter 14, is a major component of the administrative process. *Who* makes decisions, *what* decisions are made, and *how* they are made, are questions of basic importance. Participation is one of the principal keys to decision making in social agencies. Clients and case workers join in analyzing clients' problems and in selecting possible solutions according to the best case work practice. Group work has emphasized member-participation in making decisions as a primary method to further growth and development. In community organization, the participation of community leaders and groups is considered fundamental in bringing about desirable community changes. In managing a social agency, participation in making decisions which affect employees, clients, and members is also essential, if agency purposes are to be achieved. Participation is impossible without adequate communication, as Chapter 13 points out. How authority is used and what type of leadership is exerted influence the decision-making process. All these processes—participation, communication, leadership, decision making—are component elements of the administrative process.

Keeping the Administrative Process Democratic

If the foregoing summary of administrative process is accurate, social agencies are obliged, by their very nature, to utilize what might be called democratic administration. Social agencies exist to help people solve their problems, to make satisfactory adjustments, to help them develop and grow. Democracy, in its general sense, refers to the type of human community where the well-being of each participating person is a central and controlling consideration.

Tead has defined democratic administration as

> that over-all direction of an organization which assures that purposes and policies are shared in the making, that methods are understood and agreed to, that individual potentialities are being enhanced, that corporate or group ends are being realized with a maximum of release of shared creative power and a minimum of human friction. It implies further a periodic, orderly, co-operative review of total performance, of leadership in action, of effectiveness of method at every point. It brings to pass collaboration as willing, co-ordination as informed and continuing, personality growth as an actuality and a continuing promise.[8]

Democratic administration is thus concerned with the *manner* in which administration operates, as well as with the goals sought. The central characteristics of democratic administration may be summarized as follows:

One. The objectives and plans are decided together; they are joint decisions made by all concerned, or by their selected representatives. Combined judgments, co-operative decisions are sought.

Two. The varied abilities and experience of participants are utilized, in proportion to their social value and usefulness, with proper regard to the development of the persons concerned.

Three. The results are evaluated periodically, critically, and co-operatively. Methods and procedures (means) and goals and aims (ends) are both included in the process of evaluation, and are regarded as interdependent. Accomplishments are also considered a valid basis for appraisal, as well as processes and goals.

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[8] Ordway Tead, *Creative Management* (New York: Association Press, 1945), pp. 71, 72. For a comprehensive consideration of the criterion of acceptable democratic methods, see Tead, *op. cit.*, p. 79.

The difficulties and limitations of democratic administration should also be noted. Barnard in his *Dilemmas of Leadership in the Democratic Process* identifies the problem of dealing with great diversity, and with "matters of urgent speed, of highly technical character, of profound intellectual content, or of very complex conscious co-ordination."[9] Barnard also affirms the advantages of democratic administration, when used under proper conditions: a greater probability of adequate higher leadership in the long run, a possibility of greater solidarity in organization and an increased sense of participation, and a wider sense of personal responsibility, initiative, and adaptability in individuals.

With its admitted difficulties, as well as its potential values, democratic procedure (and relationships), in the administrative processes of community service organizations, seems like an operational and a moral imperative for community service agencies. It is a major way by which people can be helped to develop and grow, and to work effectively together.

Now, after summarizing the major aspects of the administrative process, it is necessary to examine more specifically the role of executive leadership and its accompanying responsibilities.

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Barnard, Chester I., *Dilemmas of Leadership in the Democratic Process.*

Dunham, Arthur, "Administration," *Social Work Year Book, 1947,* pp. 15-22.

Silver, Harold, "Administration," *Social Work Year Book, 1951,* pp. 19-25.

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[9] Chester I. Barnard, *Dilemmas of Leadership in the Democratic Process* (Princeton, N. J.: Herbert L. Baker Foundation, Princeton University, 1939), pp. 24, 25.

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URWICK, L., *The Elements of Administration.*

CHAPTER FOUR

The Executive Role

THE EXECUTIVE ROLE is central in the administrative process, for the executive is involved in all aspects of administration. He advises the board and its committees in the formulation and adoption of policies; he carries primary responsibility for the execution of policies. Many other persons participate in the administrative process—board and committee members, other executive and professional staff members, clerical, service and maintenance workers, members—but the chief executive officer, the senior executive, is responsible for the orderly and effective performance of the agency's work.

A Difficult Role to Fill

The problem of filling the role of chief executive competently in community service organizations is often a difficult one. Many social agencies are small. Their executives must often be both the executive and a direct-service staff member. Different abilities are necessary, and carrying two different roles at the same time often proves confusing to others connected with the agency and to the person directly involved.

Most staff members begin their careers as case workers or group workers; some later become supervisors or department heads. The opportunities for securing graduated experience, sufficiently varied in administrative responsibilities, are all too limited in most agencies. Much of the in-service training is inadequate as a preparation for major administrative responsibilities. A desire for prestige, higher salary, a sense of progress and accomplishment, or other motives cause some workers to move into administrative posts for which they have had little training or experience. Courses in administration are relatively recent. How effective such courses can be, if taken very long before major administrative responsibilities have to be faced, has been questioned. More specific training in administration, taken immediately before or soon after assuming the responsibilities, would probably prove more effective.

Executive Functions

The executive functions must, by necessity, be stated in terms similar to the functions of administration, because the executive role is central in the administrative process.

Executive functions have been described in different ways by writers on organization and management. Stated in terms consistent with the interpretation of administration presented in this book, however, the executive functions are (1) participating in formulating and determining the policies, (2) guiding the planning process, (3) organizing the services, (4) providing direction and oversight, (5) making provision for continuous evaluation of the organization and its services.

Participating in policy making. Policy formulation is a joint responsibility of executives and other staff members, and the board of directors. Executives, individually and in groups, provide necessary data and judgments regarding new or revised policies and sometimes draft policy statements for consideration. They work with policy-making committees, outlining problems and difficulties, helping to clarify issues or identify alternative courses of action, anticipating outcomes. Policy adoption is a legislative function; it is a responsibility of the board of directors. Executing policy—the translating of goals into plans, and finally into services and activities—is a staff responsibility.

In actual practice, however, these distinctions between policy formulation, adoption, and execution can rarely be kept so clear. A great many people in an organization may, by their expressions about problems, their reactions to established policies, help to formulate new policies. As decisions are made from day to day, as practice goes on all through the organization, policy is, in effect, being adopted. Members and clients also help to carry out policies, as they use or participate in the agency's services and program. The distinction is a valid one, however, and serves to delineate respective areas of joint activity.

The executive of the organization and other staff members who in any way carry some executive responsibility take part in formulating and adopting policies. To take such a part is one of the executive functions.

Guiding the planning process. Planning is essentially an executive function. Some students of administration include policy making as part of the planning process, but some advantages accrue from separating planning and policy making for discussion.

Planning is merely a systematic way of doing things. It means "to do things in an orderly way, to think before acting, and to act in light of facts rather than guesses."[1] Planning suggests what is to be done, how it is to be done, by whom, and at what cost. ". . . planning in one form or another is the very essence of administration, and the administrator without imagination and foresight is doomed to failure."[2] An important aspect of planning is anticipation of possible reactions and results.

Planning occurs in all parts of an organization: in staff groups, committees of the board, councils, clubs, teams, special interest groups, in the board of directors. Budgeting is a planning process. Planning which affects a social agency also goes on in interagency groups—community chest and council groups, other community organizations. Planning is a process which permits wide participation: it can occur on different levels; it can be done with projects of limited importance as well as on far-reaching matters. Such participation depends, to a considerable degree, on effective communication. Planning can be for immediate problems and for long-range projects. It involves records; it utilizes both informal studies and more formal research.

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[1] L. Urwick, *The Elements of Administration* (New York: Harper and Brothers, 1943), p. 33.

[2] Marietta Stevenson, *Public Agency Administration* (Chicago: University of Chicago Press, 1938), p. 8.

Stimulating and guiding the planning process, securing wide participation, and keeping it free from domination, is a central executive function.

Organizing the services. Organization is necessary whenever two or more persons are involved in a task. Organization is a way of defining the relationships of people who work together. Organization may vary from very informal to very complex patterns of relationships. The organizing process involves (1) a job to be done, clearly defined; (2) a group of people assigned to the task, with leadership, or the means for the selection of personnel and leadership; (3) resources to accomplish the desired result.

The executive role in relation to organizing is to help define units of work, to help select and enlist qualified persons, and to provide them with the necessary resources of equipment, facilities, and funds.

Providing direction and oversight. The executive function of directing and overseeing may be observed in relation to the work of the staff. Professional workers and other staff members are selected and assigned to a particular position, in a particular unit of work (a department or a branch). They are instructed about their duties; their work is inspected or reviewed; problems are discussed; suggestions are made. Direction also grows out of planning groups: plans are agreed upon, assignments are accepted, schedules are adopted. Reports—verbal and written—accounting records, other documents, become devices used for overseeing work. Supervision is one of the principal methods used to carry out this function of directing and overseeing. Co-ordination, also a major aspect of direction and oversight, depends upon sound organization, such as committees or conferences, and adequate direction. Leadership—"energizing" personnel—is a necessary ingredient. Morale is a result of adequate process of direction and oversight.

Evaluating the organization and its services. Appraisal is a continuous process. An executive is always asking: "How well is this being done? How can it be improved? How can this man or this woman be helped to become more competent? Is this phase of our work as productive as it ought to be—as it can be?"

Evaluation is carried on, as later noted in greater detail, by means of personnel appraisals, by the use of statistical and process records, by the use of financial reports, of special studies, and, sometimes, of research projects.

Appraisal and evaluation can lead to forecasting future needs and possible developments. (Forecasting might itself be considered a separate executive function.) Appraisal inevitably leads also to examination of objectives, and, in turn, to further planning.

Evaluation is primarily an attitude of mind: a questioning, an analyzing, a judging—sometimes a critical—point of view. It is an attitude to be encouraged, within reasonable limits, throughout an organization. To encourage such a point of view, and to help establish means to make it result in more effective service, is a central executive function.

The Executive Role and Aspects of the Administrative Process

The executive role has a direct relationship to the component elements of the administrative process which are discussed in the chapters of Part III. The establishment of communication from and to all parts of an organization is a major responsibility of the executive. Widespread participation must be fostered, effective processes of co-operative decision making established, and authority understood in terms of leadership. Such factors constitute the dynamics of the administrative process; they are the energizing forces which make it function. The executive role involves a primary responsibility for making all these various elements of the administrative process effective.

Necessary Personal Qualifications

Leadership is a characteristic of relationships among people, a characteristic of group situations. Executive leadership, like other types, is earned, not bestowed by position. Studies of leadership characteristics have not provided an agreed-upon single set of necessary personal characteristics, at least not a set of characteristics which determines what leadership will emerge in different situations. It may be useful, however, to try to outline the basic characteristics which are likely to prove useful in most situations.[3]

One. A mature social philosophy, which includes a belief in the dignity of human personality and responsibility for the common good, and which is based on a growing religious faith.

Two. Intellectual capacity, imagination, creativeness: the ability to deal with complicated problems, to master one's field of service, to understand social and economic forces which determine the environment in which he or she operates, to think in an orderly, consistent way.

Three. Ability to get people of different background and abilities to work together effectively.

Four. Willingness and ability to carry complex responsibilities simultaneously, and to make decisions based on available facts, under pressures of time.

Five. Insight into human behavior and potentialities for growth.

Six. Emotional poise, maturity, and security.

Seven. Ethical sensitivity and personal integrity.

Essential Bodies of Knowledge

Responsible participation in the administrative process, through the executive role, requires mastery of at least four interrelated bodies of knowledge, undergirded by a rational, scientific, social work philosophy, and motivated by humane, spiritual values.

An understanding of individuals and of group relationships. Administration, particularly in social work, deals with human relations. Social work's primary concern is human behavior and relationships. The basic purpose and methods of social work, including its administrative processes, must therefore be in harmony.

Social case work and group work have identified many principles of human relationships and methods of dealing with them, all of which have applicability to social work administration as well as to client-worker and group worker-member relationships.

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[3] For other formulations than that here presented, see Donald K. David quoted by Myles L. Mace, *The Growth and Development of Executives,* p. 190, and Hedley S. Dimock, "Qualifications of the General Executive Analyzed," *The Executive Role in YMCA Administration,* Gren O. Pierrel, Ed., pp. 44-53.

Social work administration requires an application of such insights and skills to dealing with clients and client-groups, with members and member-groups, with committees, with boards of directors, with fellow staff members and other employees, with groups outside the agency.

An understanding of community forces and relationships. Social workers, and particularly social work executives, need to understand their communities. They must understand modern methods of studying community life. They must understand the interrelatedness of community life, how prestige structures operate, how changes develop, how cleavages operate, and how co-operation is achieved.

An understanding of social work programs and agencies. Social work executives must recognize that social agencies and social work programs are community instrumentalities for rendering service to people. The needs of people, the needs of the community, are the primary justifications for the existence of agencies.

Executives need to understand the variety of services available in the community, and the necessity for the various types of services and agencies, public and private. Their concern for effective service must go beyond the interests of their own agency. The functions of different agencies, the services they provide, their leadership, and their financial base, are necessary bodies of knowledge for executives. The influence of social agency affiliations of prominent community leaders also needs to be understood.

An executive needs, too, a thorough grounding in the philosophy, history, and organization of the agency in which he works.

An understanding of the total administrative process. Executives need to master the basic facts about the inclusive, pervasive nature of the administrative process: in setting objectives and establishing policies; in creating and maintaining an organization; in making plans and carrying them out; in evaluating the results. He needs to understand the dynamics of the many interrelated subprocesses which go on simultaneously.

Executives need to understand the processes of organization: how an organization is made effective, through its board and committee service, its staff work, and the participation of members and clients; how the services are made effective, and how they can be adequately financed.

Executives need to understand research processes: getting pertinent facts, analyzing such facts and making plans based on them.

Executives need to understand the process of interpretation: how facts and purposes can be presented clearly and persuasively, how favorable individual attitudes and a favorable community climate can be developed.

Executives also need to know how wide participation with accountability can be developed throughout their organization, and through the organization with and to the community. They need to understand the process of decision making, the nature of authority and leadership.[4]

The Executive as "Enabler"

"The role of administrative leadership," Trecker has emphasized, "is essentially an *enabling* or *helping* role."[5] Arlien Johnson expands this point: "The professional service which the executive has to perform is similar in many ways to the function that is common to the case worker, group worker, and community worker. His is *essentially a helping role,* carried on by means of relationships which he has skill in developing between himself and others, between the various groups that make up the agency, and between all of them and the goal or purpose of the agency. Once decisions have been reached by 'cumulative responsibility,' the executive has responsibility for redissemination of tasks in order to put these decisions into action. . . . Important as is the role of the executive, his function is only one of the factors in effective administration. . . . The problems of administration are no longer the concern primarily of those in executive positions . . . they are a part of every worker's job. . . ."[6]

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[4] The writer is indebted to John C. Kidneigh for many of the ideas suggested about these areas of essential knowledge for executives. See John C. Kidneigh, "Social Work Administration: An Area of Social Work Practice," *Education for Social Work Administration,* by H. B. Trecker, F. Z. Glick, and John C. Kidneigh (New York: American Association of Social Workers, 1952), pp. 9-11.

[5] H. B. Trecker, "Education for Social Work Administration Today," *Ibid.,* p. 5.

The Varying Roles of Executives

The executive role varies in different types and different sizes of social agencies. A single-service agency is very different from a multiple-service agency. The executive's responsibilities vary in an organization which has a number of branches, each with its executive and its operating board, in an organization which owns and operates a number of buildings and other facilities, in an organization which has members, and one which has members of different age groups, and persons of both sexes and of many racial and religious backgrounds.

The executive roles are, however, comparable. These roles are carried out through the specific areas of responsibility which will be examined in the chapters of Part II. They are inherent in all the aspects of the administrative process discussed in the chapters which follow. Whatever the size or type of social agency, whatever administrative responsibility or aspect of the process which is involved, the executive role is one of the significant factors which determine the effectiveness of the organization and its services.

A WORD ABOUT PART II WHICH FOLLOWS

Administrative competence depends, to a considerable degree, on the skill developed in major areas of executive responsibility. One way to understand the underlying principles of administration—and the process itself—is to examine the responsibilities which are involved. Such responsibilities are always carried out, of course, in terms of a certain philosophy, and practice is inevitably guided by a set of assumptions, by a set of principles. These assumptions and principles have been stated in summary form in the preceding chapters and are implicit in the chapters which immediately follow.

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[6] Arlien Johnson, "The Administrative Process in Social Work," *Proceedings, 1946 National Conference of Social Work* (New York: Columbia University Press, 1947), pp. 257-258.

It will be observed that no separate chapter has been devoted to membership. In organizations which maintain an active membership, executives must give considerable attention to this problem. It has seemed wiser for this book, however, to deal with the question of membership in various chapters which follow, such as "Keeping the Organization Strong," "Keeping the Services Effective," "Maintaining Communication and Participation," "Getting Decisions Made," and "Widely Distributed Satisfactions."

These areas of executive responsibility are common to most of the different types of community service organizations. The materials presented in Part II must be supplemented by detailed procedures and methods used in specific fields of work and organization.

We proceed, then, in Chapters 5 to 12 inclusive, to a consideration of the broad areas of practical responsibility with which executives must deal.

SUGGESTIONS FOR FURTHER READING

American Management Association, *The Development of Executive Talent* (New York: American Management Association).

Committee on Professional Education—a joint committee of the Association of Secretaries and the Personnel Services Committee of the National Board of YMCA's, *Basic Areas of Professional Preparation for the YMCA Secretaryship.*

Johnson, Arlien, "The Administrative Process in Social Work," *Proceedings, 1946 National Conference of Social Work,* pp. 249-258.

Kidneigh, John C., "Social Work Administration: An Area of Social Work Practice," *Education for Social Work Administration,* Trecker, H. B., Glick, F. Z., and Kidneigh, J. C., pp. 7-13.

Learned, Edmund P., Ulrich, David N., and Booz, Donald R., "The Role of the Top Executive," *Executive Action,* pp. 45-63.

Mace, Myles L., "The Requirements of Executive Positions," *The Growth and Development of Executives,* pp. 18-47.

PART TWO

Areas of Executive Responsibility

CHAPTER FIVE

Keeping the Organization Strong

A PRIMARY PROFESSIONAL RESPONSIBILITY of executive leadership is to help establish and maintain a suitable and effective organization. Effective working relationships among people depend, to a considerable degree, on sound organization. The type of organization structure will vary with the size and type of agency and the services it provides.

Sound organization is essential in small, as well as in large, community service agencies. In small agencies organization can be simpler, and more informal; interpersonal relationships are direct, and division of responsibility can be readily determined; but adherence to the essentials of good organization is just as important as in large agencies.

Organization and Structure

"Organization is that phase of administration," Jay Urice writes, "through which people establish relationships by which they can work together most effectively. . . . More specifically stated, organization is the process and structure that defines and gives direction to the co-operative relationships of people in the formulation of objectives, policies, and plans, and in carrying them into effect."[1]

Both process and structure are involved in good organization. Organizing is a process and it also requires structure. Industrial and business organizations, and large public welfare agencies, have given considerable emphasis to structure. Social agencies, particularly private agencies, have emphasized function and process in their organizational patterns. A somewhat greater emphasis on form and procedures might well improve their administration.

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[1] Jay A. Urice, "Developing and Maintaining an Effective Organization," *The Executive Role in YMCA Administration*, Gren O. Pierrel, Ed. (New York: Association Press, 1951), p. 110.

Organization, as a process and a structure, needs to be distinguished from *an* organization. As Tead says, "An organization is a combination of the necessary human beings, equipment, facilities and appurtenances, materials and tools, assembled in some systematic and effective co-ordination, in order to accomplish some desired and defined objective."[2] When one speaks of *the* organization, however, it ordinarily refers either to the group of persons who are associated together to carry on some enterprise, or to a particular organization (i.e., the combination of people and facilities)—The Family Service Society of Middletown, The Children's Aid Association, or The Middleville Community Center.

Most executives find an organization in existence when they accept their position as an executive. Their problem is not to create a new organization but to understand one which is in operation, to identify the strong and weak points in an existing organization structure and process, and to work skillfully to make it more effective.

Structure is necessary both to develop effective working relationships and to achieve organizational purposes. "The main purpose of organization [is to fit] together individuals and their tasks as productively as possible."[3]

Organizational structure becomes established in a number of different ways. The articles of incorporation or charter—or, for a public agency, the authorizing legislation—provide the broad outlines and the legal existence of the organization. Incorporation as a nonprofit, philanthropic organization is a very important step: it creates the "corporate entity"; title to property can be held, bequests and other gifts can be received; certain tax exemptions become available; directors are protected from personal liability for organization obligations; continuity is furthered. The constitution and by-laws define purposes more specifically and set up the framework, ordinarily a board of directors, certain committees, the duties and authorities of officers, the provision for an executive director with accompanying authorities and responsibilities, ways in which operating units are established and modified. Other written statements of policies and procedures—commissions to sub-boards and district and departmental committees, finance, program and personnel policies, job descriptions, and assignments—supplement the more basic documents.

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[2] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, Inc., 1951), p. 101.

[3] Albert Lepawsky, *Administration: The Art and Science of Organization and Management* (New York: Alfred A. Knopf, 1949), p. 246.

The organizational pattern should be both suitable and flexible. The plan of organization must be such that it aids in accomplishing the purposes of the organization, so that it helps to provide appropriate, effective services. It must also be kept flexible: needs change; other new services, both public and private, arise.

Organization, however, is much more than structure. "Organization . . . refers to more than the frame of the edifice. It refers to the complete body, with all its correlated functions. It refers to these functions as they appear in action, the very pulse and heartbeats, the circulation, the respiration, the vital movement, so to speak, of the organized unit. It refers to the co-ordination of all these factors as they co-operate for the common purpose."[4] Executive responsibility includes attention to the dynamics of organization.

Relationships are more important than structure. The structure of an organization is merely a way to help people work together effectively. Sound structure is important: it can help people to work together; faulty structure can obstruct relationships. For example, poor organization can make necessary communication difficult, for it can keep people who need to talk together from seeing each other frequently. Too many departments can be created with related functions too sharply separated. Small organizations sometimes try to duplicate most of the departments which large organizations find necessary.

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[4] James D. Mooney, *The Principles of Organization* (New York: Harper and Brothers, 1947), p. 3. Used by permission.

Sound structure can help, but the spirit in which people work together is more important.

Relating Functions and Specializations

The development of an effective organizational pattern is largely a problem of the division of responsibility. Two important problems are involved: "(1) grouping similar functions in a manner that will promote effective co-operation, and (2) determining the proper relationships between functional groups and organization elements, with a view to promoting both cooperation and effective executive leadership."[5]

Five functional divisions are recognized in most industrial organizations: production, sales, finance and accounting, personnel, and co-ordination. Five similar functions apply generally to social agencies: providing the services, promoting and interpreting them, finance and accounting, personnel, and coordination.

The problem of relating basic functions varies in agencies which provide one primary type of service, such as case work, and agencies which have a variety of services. This is true whether the agencies are small or large. If the professional service is of one general type, with little emphasis on subspecializations, the staff can be organized as one entire unit, possibly with geographical divisions. The work in finance and accounting can be carried by assigned administrative staff members; the personnel and co-ordination functions can be carried by the chief executive and assigned associates.

In multiple-service organizations, where a variety of service functions have to be performed, as in a children's institution, a settlement or neighborhood center, and a YMCA or YWCA, the problem of relating different functions and specializations is rather complex.

Barnard has identified five bases of specialization: "(1) the place where work is done; (2) the time at which work is done; (3) the persons with whom work is done—'associational specialization'; (4) the things upon which work is done—materials or services; (5) the method or process by which work is done—'specialization of process.'"[6]

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[5] R. C. Davis, *Industrial Organization and Management* (New York: Harper and Brothers, 1940), p. 22.

Four of these bases have special pertinence for the work of social agencies: location, persons, services, and process or function. For example, a family service society may divide its work into districts, each with its own office. A settlement or neighborhood center may divide its work on the basis of its membership: youth, young adults, adults. Some of them divide services on the basis of sex. Many YMCA's and YWCA's divide their work by types of services, such as health and physical education, counseling, informal education, as well as by age groups. Most agencies also have to provide for such functions as finance, personnel, and public relations.

The work of an organization can be divided into units very easily when only one set of factors has to be taken into account; it can be done without serious problems when two sets of factors are present; it becomes increasingly difficult as three or four sets of factors are used. It can be done, where the functions seem to overlap, by definite limitation of function applied to one set of factors, such as age groups, and by definition of such limitation.

Lay-Professional Relationships

When social work began, the people who established the agencies did all the work. They served clients personally; they were the members; they gave or collected whatever was needed—the funds or equipment; they interpreted the work. When incorporation seemed desirable, they became the incorporators.

Today, professionally trained, full-time paid staff members have taken over much of the work. They give executive leadership. They provide much of the actual service, though volunteer workers participate in the program services of some agencies.

The relationships between lay and professional must be clearly outlined and understood; they must be reflected in the organizational forms. Each group has a useful and distinctive part to play. The pattern of organization should aid members of each group to contribute usefully and with satisfaction.

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[6] Chester I. Barnard, *The Functions of the Executive* (Cambridge, Mass.: Harvard University Press, 1942), pp. 128-129.

The respective functions with regard to policy have been stated in general terms as follows: policy formulation is a joint responsibility; policy adoption is a lay function; policy execution is an executive or professional function. Lay groups, that is, the board and certain of its committees, also oversee the work of the agency; they take corporate action on matters of business, generally related to finance or to property. When board or committee members serve as volunteer workers in the program, they actually assume another role: they become a staff member, though it be on a part-time, unpaid basis.

Laymen bring invaluable contributions: knowledge of the community, its needs and attitudes; community confidence and the ability to commend and validate the agency's work to community groups; informal representation of their groups in the community, or in the agency itself; their special abilities and experience.

Professional workers bring these contributions: special training—knowledge, insights, skills—in working with individuals and with groups; knowledge about the traditions and experience of the agency; an alertness to community and other social needs, ability to help others become aware of them and skill in getting people to work together to meet such needs; an ability to understand the problems and interests of individuals and skill in helping to meet them satisfactorily; special experience and skill in working with other organizations in the community.

Two parallel patterns of organizations thus exist in social agencies. Lay groups are authorized by and report to lay groups. Professional workers report to professional, executive workers. Two separate, parallel lines of accountability exist. These two official lines of responsibility do not overlap; they have their separate functions, which organization charts and commissions can make clear.

Although consideration to staff organization will be given in Chapter 7, some reference is necessary here. The senior executive is selected by and is responsible to the board of directors. Other professional staff members and any other senior administrative workers, are selected, in most social agencies, by the senior executive, under policies outlining standards of qualifications adopted by the board. They are actually employed by the board of directors, but the selection is an executive responsibility. All staff members receive their assignments for work in the organization from the senior executive and are responsible to him, or to someone delegated by him. Certain staff members may be assigned to work with sub-boards or committees; their accountability, however, is to their executive, or their assigned supervisor or department head.

Staff organization does not necessarily parallel the lay organization, although staff members are usually related, as "enabling agents," to committees and other parts of the lay organization. Where staffs are small, organization can be simple, relationships informal, and co-ordination easy and effective. A professional staff exists to bring certain specialized skills in service and program, and to facilitate the work of lay committees, councils, and the board.

Informal Organization

Formal systems of organization are always supplemented by informal organization, ". . . the aggregate of the personal contacts and interactions and the associated groupings of people. . . ."[7]

"The blueprint plans . . . show the functional relations between working units, but they do not express the distinctions of social distance, movement or equilibrium. . . . The formal organization cannot take into account the sentiments and values residing in the social organization by means of which individuals or groups of individuals are informally differentiated, ordered, and integrated. . . . Without them, formal organization could not survive for long. Formal and informal organization are interdependent aspects of social interaction."[8]

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[7] *Ibid.,* p. 115.

[8] Roethlisberger and Dickson, *Management and the Worker* (Cambridge, Mass., 1939), pp. 559-560, 562.

Executive Responsibility

The informal personal relationships and informal groupings of people who work together have an important bearing on the effectiveness of the formal relationships. Attitudes, understandings, even customs and social controls become established informally. Communication is helped or hindered. It is important that formal and informal organization be kept consistent, as far as possible. "In efficient organizations they correspond closely; the formal structures and procedures reflect and sustain the informal, and the primary groups are integrated in an effective social institution. In other organizations the formal and informal arrangements diverge, and failure to co-operate tends to result."[9]

Essentials of Sound Organization

Certain essential principles and practices are involved in sound organization which apply to all types and sizes of organizations, though in varying degrees. They provide a basis for executives to examine existing organization structure and processes, and to plan steps to strengthen them.

Units of work. Suitable units of work must be established, even in small and relatively simple organizations. Distributing work gets all the jobs done. It also helps people to develop greater skill, as they concentrate on one task or a set of related tasks. Suitable units of work are based on similarities. What the units are will differ from job to job, and from organization to organization.

Definite assignments. Each staff position and each sub-board or committee should have its responsibilities and relationships clearly defined. Clarity and definiteness in assignments eliminate uncertainties and misunderstandings.

Written assignments or "commissions" to staff members and to committees are desirable, if not essential. They may be a comprehensive letter, a job description, a well-stated board motion, or a formal policy document. According to Jay Urice, the following points should be covered in written commissions:

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[9] Jerome F. Scott and R. P. Lynton, *The Community Factor in Modern Technology* (Paris, France: United Nations Educational, Scientific, and Cultural Organization, 1952), p. 122.

(a) Who issues the commission. (b) Titles or designations to be used. (c) Scope of assignment and authority. (d) Reference to general policies which are to guide delegated authorities. (e) General responsibilities. (f) Specific responsibilities. (g) Limitations to be observed. (h) Time factors (i.e., length of appointments, cycle of reporting, etc.). (i) Important relationships to be observed and maintained.[10]

Commissions and other written assignments can well be developed jointly by the persons or groups issuing them and those to whom they are addressed. All the pertinent factors are thus more likely to be taken into account, and greater acceptability is likely to result.

Definite assignments and clear definitions are based on a clear conception of the organization structure. An organization chart can be useful, though it inevitably has limitations. A chart should be as simple as possible, but it should depict relationships and lines of responsibility. Authoritative relationships and advisory relationships can be distinguished by using solid and dotted lines.

The limitations of charts of organization should be recognized. Charts are composed of horizontal and vertical lines and uniform sizes of boxes. As one of the Harvard Business School studies points out, "Nothing that goes on in a company is ever quite horizontal, vertical or uniform . . . the organization chart itself shows accurately only *one* of *three* sets of important relationships. . . . The set of relationships shown clearly by the chart is the formal positions, their titles, and the formal links among them. The second set of relationships may be inferred from the chart, but often inaccurately. This is the *actual* prestige and authority of the various positions shown and of the individuals who hold them. . . . The third set of relationships is the actual lines of person-to-person contact in the process of getting the job done."[11] Organization charts can be useful, however, in providing a base for definite assignments and clear definitions.

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[10] Jay A. Urice, "Developing and Maintaining an Effective Organization," *The Executive Role in YMCA Administration*, Gren O. Pierrel, Ed. (New York: Association Press, 1951), p. 122.

[11] Edmund P. Learned, David N. Ulrich and Donald R. Booz, *Executive Action* (Boston, Mass.: Graduate School of Business Administration, Harvard University, 1951), pp. 139, 140. Used by permission.

Clear lines of responsibility and authority. Definite responsibilities and authorities exist in every part of a sound organization. It is an executive responsibility of high order to see that such responsibilities and authorities are established, and that they are understood and observed.

The board of directors has primary legal authority to act for the organization, conferred by the articles of incorporation and the constitution. Committees receive their authority from their appointive body, ordinarily the board. The senior executive derives his responsibility and authority from the board, usually outlined in the by-laws and in his commission. The authority and responsibilities of other professional staff members are delegated by the senior executive. The nature of authority is considered in Chapter 18, but its source, and the principle of accountability, must be clear in sound organization procedure.

Single lines of accountability are desirable. "One person responsible to one person" is a good rule. A staff member may work with a committee, but he is responsible to his supervising executive. If it becomes necessary, on occasion, for a staff member—when carrying multiple responsibilities—to be responsible to two executives, it should be clear that he is responsible only to one person for one responsibility, and clearance between the two supervisors and the staff member about the relationships of the two responsibilities should be made.

Informal relationships, and efforts to broaden participation by "reaching out," need not blur clear responsibilities.

Effective communication. Organization structure and procedures must provide for a free flow of ideas, for full participation in developing policies and plans, and for a wide understanding by everyone concerned. Planned means for communication, up and down and across levels, are necessary.

A variety of methods can be used: staff meetings, bulletins and memoranda, organization manuals, participation in committee and board meetings, house organs, program-service and financial reports, special conferences. Further consideration is given to communication in Chapter 13.

Distribution of responsibility. A wise combination of centralization and decentralization is necessary for efficient operation and high morale. Planning can well be located as close as possible to the points of responsibility for performance. Vital interest and understanding, and greater accountability, are thus encouraged. Delegation of responsibility can well be sought throughout the organization. At the same time, the right of review, and final approval or disapproval of fundamental matters, must be reserved for the primary responsible bodies and individuals. Accounting, of both financial and program services, can ordinarily be centralized. Initiative, a sense of responsibility, and growth will result, however, from the widest possible distribution of responsibility.

Co-ordination of units and workers. Work must be divided and it must be co-ordinated. Co-ordination ". . . may be achieved in two primary ways . . . (1) by organization . . . by interrelating the subdivisions of work . . . (2) by the dominance of an idea . . . the development of a singleness of purpose . . . of those who are working together as a group. . . .[12]

General policies and procedures are necessary. The work of each branch or department, each committee and each staff member, can then be related to over-all plans. Co-operative thinking, planning, and action are fundamental to effective co-ordination.

Practicable span of control. The number of committees which report directly to the board, and the number of staff members who report directly to one executive, must be kept within manageable limits.

The tendency of groups and individuals is to want to "report directly to the top." Feelings of prestige, a desire to work near the final source of authority, as well as concern for effective work, are involved.

The minimum and optimum span of control varies with organizations and with individuals. In organizations where policies and plans are "well-grooved," where personnel is seasoned, and in periods when relatively few new developments are occurring, the span can be wide. When senior executives are carrying a number of time- and energy-consuming responsibilities, such as numerous community relationships and heavy financing responsibilities, and when other staff members are inexperienced and need continuous guidance, the number of persons supervised must be more limited.

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[12] Luther Gulick, "Notes on the Theory of Organization," *Papers on the Science of Administration*, Luther Gulick and L. Urwick, Eds. (New York: Institute of Public Administration, 1937), p. 6.

The span can be too small to be efficient. The supervision of one or two professional workers by one executive is ordinarily too costly, unless the executive is also carrying considerable direct-service or program responsibilities. Ordinarily, from six to twelve persons responsible to one executive is considered a manageable and effective ratio.

Sufficient standard practices. Time can be conserved, and operations made more efficient, by use of certain standardized practices. Purchase of supplies, schedules of work, use of equipment and facilities, payment of bills, making necessary records of services and funds, can be managed more accurately and quickly by use of standard forms and procedures.

Provision for exceptions. Specific methods and authorities for making exceptions to established policies and practices should be established. For example, the number of days for absence during illness, without loss of wages or salary, may be quite automatic. Cases arise, however, where extensions are justified. The conditions under which exceptions can be made, and the persons who may authorize exceptions of varying degrees of importance, should be defined and understood: for example, twelve days' absence for illness during one year may require no special authorization. The executive may be given authority to authorize extensions, under unusual circumstances, up to a period of one month, beyond which special board action may be required.

Adequate records. Records and reports are necessary for staff workers and supervisors to note strengths and weaknesses, to measure progress, and to furnish a basis for planning. They are an indispensable part of sound organization. Suggestions for necessary records, and forms and procedures for use, have been developed by most of the national organizations to which local service agencies are related. They should be used, with any necessary local adaptations.[13]

The Process of Reorganization

A healthy organization is never static. New conditions constantly arise, and continuous reorganization is necessary. Marshall Dimock writes, "The wise executive never looks upon organizational lines as being settled once and for all. He knows that a vital organization must keep growing and changing with the result that its structure must remain malleable. Get the best organization structure you can devise, but do not be afraid to change it for good reason. . . . On the other hand, beware of needless change. . . ."[14]

The Executive Responsibility for Organization

Responsibility for sound organization is focused in the chief executive officer. He alone does not create the structure or make it effective—that responsibility rests with the board and with all other executives and staff members. The senior executive is responsible, however, for studying and guiding the development of the organization.

He stimulates others to co-operate in the process. He sees that the structure and the processes are understood. He encourages the drafting and approval of job descriptions and commissions. He coaches staff members and committee chairmen. He helps to establish routines and standard procedures. He facilitates communication.

The executive is continuously seeking to recruit new leadership—lay and professional. He helps the officers, committee chairmen, and staff members to discover and add new experience and skill. He sees that responsibility is clearly delegated, that accountability is established, and that responsibilities are effectively discharged.

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[13] See: *Handbook of Statistical Recording and Reporting in Family Service Agencies,* Family Service Association of America; *Organization of the Jewish Community Center,* National Jewish Welfare Board; *Association Records* and *Association Accounting,* National Board, YMCA (Association Press), and similar materials from other national agency headquarters.

[14] Marshall E. Dimock, *The Executive in Action* (New York: Harper and Brothers, 1945), p. 18. Used by permission.

Appropriate structure and well-developed procedures are essential to sound organization. They are created and made effective by all parts and participants. They are a central responsibility, however, of the chief executive officer.

The board of directors and its related committees occupy a central position in good organization. The working relationships of the board and committees with the senior executive are among the major determining factors in a vital, strong organization. They will next be considered.

SUGGESTIONS FOR FURTHER READING

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TEAD, ORDWAY, "The Substance of Administration," *The Art of Administration,* pp. 100-115.
URICE, JAY A., "Developing and Maintaining an Effective Organization," *The Executive Role in YMCA Administration,* Gren O. Pierrel, Ed., pp. 110-150.

CHAPTER SIX

Working with the Board and with Committees

BOARDS ARE WIDELY USED in business, government, and community social agencies. They establish policies and make plans; they help to assure efficient and effective use of personnel and funds in carrying out the purposes of the organization.

Increasing attention is being given to boards and their roles. In business, studies are being made of

> the functions of directors, the methods of performing these functions, trends in the attitudes and functions of directors, the need of adapting boards to the personalities and problems of individual companies, and the possibility of making boards more effective by clarifying the concept of trusteeship and the position of board chairmen.[1]

Governmental commissions have been analyzing local, state, and federal structure and relationships—in city and county boards and departments, in state boards and commissions, and in federal departments and bureaus.

Developments in voluntary community social services have also stimulated study. The increase in the number of agencies, their growth in size and in variety of functions, the greater specialization and professionalization of staff have changed the functions of boards and, at the same time, have made them more important.

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[1] J. C. Baker, *Directors and Their Functions* (Andover, Mass.: Andover Press, 1946), p. 10.

Boards differ in their responsibilities and their practices between business and industry, government and voluntary community services. These differences are important, because some of the same people serve on different types of boards, and community interests and expectations are involved in all of them.

Roy Sorenson points out that in industry, with separation of management from ownership, with widely distributed stockholdings, and with governmental regulation, "Boards are trustees . . . representing many people who have put up capital, the employees who put their labor and lives in the enterprise, the customers, and the general public."[2] He indicates that although most government work is carried on by single administrators under legislative enactments, boards and commissions are widely used where policy must be determined, where standards and techniques have not yet become generally accepted, and where administrative integrity must be safeguarded from hostile pressures. Government also uses administrative boards, regulative commissions, and advisory boards.

Boards in social agencies also differ. In small agencies, boards are often intimately acquainted with all aspects of the organization and its work; relationships are inclined to be quite informal. In a larger agency, more responsibilities must be delegated to committees and to staff members. More complex problems confront boards in agencies which have considerable property, numerous employees, large funds, and varied services. Smaller groups study problems and present recommendations, with supporting documents for board consideration and action. Broader management authority is given to executives.

Purposes, Functions, and Methods

Boards of directors in voluntary community-service organizations have three primary purposes: (1) they provide for citizen participation: they start new movements, they assure public acceptance and confidence, through their individual standing in the community; (2) they assure effective administration; and (3) they give continuity to the work of organizations.

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[2] Roy Sorenson, *The Art of Board Membership* (New York: Association Press, 1950), pp. 16-28.

Boards perform such basic functions as these for their agencies:

They validate the services. By their participation in the work of the organization, they commend its work to community leaders. They lend their personal prestige.

They help to secure appropriations or raise funds. They represent the organization in negotiations with community chest budget committees, with foundation trustees; they solicit funds for operating purposes in agencies which conduct their own campaigns, and for capital purposes.

They establish general policies and approve plans. They approve basic policy documents and make ongoing policy decisions; they approve plans to establish new services and units and adapt existing ones.

They oversee the operation of the agency. They select and employ the senior executive and approve the employment of other staff members; they authorize budgets and supervise expenditures; they guide the services; they invest and safeguard capital funds.

They interpret the work. Through their personal contacts and the public relations plans they approve, they interpret the organization's purposes and its services to community leaders. They also help to interpret community attitudes and problems to staff members and planning groups.

In performing these functions, the board and its committees work closely with the senior executive and with other staff members.

A board of directors uses four fundamental methods: they *appoint* the senior executive and major committees; they *review and advise* concerning statements of proposed policies and plans, reports of work in progress; they *negotiate* through delegated individuals or groups, financial allocations with community chests, contracts, and other business arrangements with staff members and with other organizations; they *adopt, approve, authorize* reports, recommendations, budgets, and other plans.

Selecting Able Board Members

The effectiveness of a board of directors depends to a very large degree on the interest and abilities of its members, the board leadership, and the related executive services.

At least these factors need to be considered in the selection of board members:

Vital interest. Understanding, concern, and belief in the purposes of the agency, in the type of service it provides and the needs it seeks to meet, together with freedom and willingness to give a reasonable amount of time to board responsibilities is basic.

Ability—capacity. Each board member can well have some special experience, as in business, law, or investments, and educational interests and background, to bring to the work of the organization, along with a degree of community confidence.

Representativeness. The points of view and experience of some part of the community—age groups, economic, racial, religious, labor, management groups, the constituency or clientele—are desirable.

Skill in working with other people in groups, or at least, some aptitude for acquiring it. Skill in group thinking and action, willingness to base plans on available facts, to allow for bias, to take other points of view into account, to weigh alternatives and choose between them are valuable.

Continuity, blended with change. A proportion of people who are seasoned in the work of the agency must be retained, and sufficient new members introduced periodically to keep a fresh point of view and to bring in new experience as needed.

The nominating committee, in most agencies, occupies a central role in discovering and proposing directors. To prevent ingrownness, the nominating committee should be composed of persons who have contacts in different segments of community life. "Staggered" terms for nominating committee members, with one person leaving the committee and a new person coming on each year, helps to maintain vitality. Not all the members of the nominating committee, perhaps a minority, should be members of the board.

A statement of board and director responsibilities, and a set of criteria for nominating committees to evaluate prospective board members and board members being considered for re-election, democratically developed and formally adopted, may prove useful. An inventory of needed experience and types of representation can well be developed. "A board must decide . . . what attributes it seeks. . . . Armed with adequate directives, a nominating committee can then be purposeful in its work, and the board can hold it to account.[3]

Tenure is a problem in some agencies. In some organizations, which have indefinite terms or in which re-election is almost automatic, board membership is considered a lifetime right or responsibility; it is valued for its prestige. Turnover is usually low, absenteeism and inactivity are likely to be extensive, and work and leadership, limited. This problem of tenure can be dealt with in several ways. Terms are limited in the number of years in some agencies, and the number of consecutive terms which can be served is also restricted. Two disadvantages can result: board members are removed when their period expires, regardless of whether they can continue to serve well; inactive members are likely to be continued until their terms expire, and the bringing in of more active people is unnecessarily delayed.

Another method merits consideration. Each year one-third or one-fourth of the board can be elected for three- or four-year terms. A representative nominating committee continuously can study board composition and participation, checking factors such as those suggested above, based on the board responsibilities and criteria which have been adopted. The principle of change is thereby established. Continuation of board membership is not assumed: even for board members who are in a position to function effectively, they are consulted about remaining on the board. When elections occur, they are officially notified. Changes needed are faced frankly and discussed with the persons involved. When persons are not discovered or are otherwise not yet available to provide desired representativeness, a vacancy or two can be kept for interim election by the board itself.

The chief executive officer, other executives, and board members can be constantly alert to discover needed new leadership, to provide opportunities to interest them in and inform them about the work of the agency, and to take some "try-out" part in its work. Committees working on special projects—studies or campaigns—are good "discovery and proving grounds" for new board leadership.

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[3] Ralph A. Uihlein, "The Agency, the Board, and the Constituency," in *Proceedings, 1946 National Conference of Social Work* (New York: Columbia University Press, 1947), p. 272.

Service on Committees and Councils

Committee service represents "the working center of the organization . . . the points where co-operative thinking is done, where policies are formulated and planning is carried out. . . . Committees work in defined areas of responsibility and relationships within the total organization."[4]

Committees are ordinarily related to the basic functions of the organization and should be established only when there is a specific responsibility to be carried. The number of committees will often exceed the number of staff departments or even the number of staff positions. The tendency—in small organizations, at least—is to have too many committees; such a condition results in inactive committees and undue staff burdens.

Most agencies will have an executive committee, ordinarily consisting of the officers and the chairmen of other major committees, to act as a central planning group, to review and act on more detailed administrative matters, and to function for the board of directors between board meetings. Care must be taken that the executive committee does not usurp board functions and does not relegate the full board to a "rubber stamp" role. Other major committees, in most agencies, are the finance or business committee, the personnel committee, the public relations committee, and one or more committees related to the agency services or program, such as a case work committee, a youth program committee, and an adult program committee. Special committees are appointed for specific purposes, sometimes for short duration assignments.

Committee work is most likely to be effective when assignments are made clear, when the committees are composed of persons interested in and competent for their assignments, when sound group work practices are observed, when the chairman is skillful in facilitating group thinking and action, and when staff service is competent. Committees are *responsibility* groups, established to carry specific responsibilities for the organization. In social agencies, they are ordinarily appointed to explore problems, to develop plans, or to formulate recommendations.

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[4] Jay A. Urice, "Developing and Maintaining an Effective Organization," *The Executive Role in YMCA Administration,* Gren O. Pierrel, Ed. (New York: Association Press, 1951), p. 142.

Some organizations use councils as planning and co-ordinating centers. Staff councils, composed of the heads of departments or divisions, or of the executives of branches or other units, can serve as a means for working out plans which affect the whole organization. Memoranda outlining possible new policies or procedures can be reviewed by such groups. The key staff members can thus participate in the staff work which parallels or supplements the work of board committees. Participation in democratically functioning staff councils can be an important means of staff development.

Member councils, composed of presidents of clubs or chairmen of committees, or other elected representatives—house councils, program councils, interclub councils, young adult councils, physical education councils—can also do useful planning. They can help to co-ordinate program services and to maintain morale throughout the organization.

The effectiveness of committees and councils needs attention. More and more, decisions are made "in conference." These decisions often require further conferences to develop plans. Social agency staff members, and in many cases, directors and members, spend a great deal of time in conference. Yet relatively little is yet known about the actual operation of committees and small conferences. Many such groups accomplish very little; some quickly "go sour."

Experimental studies of committee meetings in which decisions are made are being conducted under various auspices, such as those by Robert F. Bales, at the Laboratory of Human Relations at Harvard University.[5] Bales has studied the behavior that occurs in a committee meeting as a series of questions, answers, and positive and negative reactions to the questions and answers. Three types of questions and answers can be distinguished: *asking and giving information, opinion, and suggestion.* Negative reactions include *showing disagreement, tension, or antagonism.* Positive reactions include *showing agreement, tension release, and friendly solidarity.* Such reactions of committee members are part of the problem-solving process, on which sound decision making depends. Bales reports that in the committees studied, 50 per cent of all comments are answers, and 50 per cent are questions and reactions. He speculates that such a balance may be one characteristic of successful communication.

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[5] Robert F. Bales, "In Conference," in *Harvard Business Review*, March-April, 1954, pp. 44-50.

Participation is essential. Talking is an indication of participation, but an equal amount of talking by each member is not necessary. Bales found that members do not seem to feel bound by a decision unless they have participated in making it. If participation is to be real, each member must feel an equal right to ask questions, to state negative or positive reactions, and to have his suggestions fully considered. An optimum balance between agreement and disagreement seems desirable. Committees composed largely of moderate participators are likely to be more effective: having too many participators develops excessive competition, and, on the other hand, committees composed largely of low participators are likely to lack ideas.

The laboratory findings seem to indicate that most groups have two leaders: a task leader and a social leader. Few people seem to be able to hold both roles simultaneously. The task leader helps the group to focus on its work, but the pressure of work and of reaching decisions often tends soon to provoke irritation and to lessen the unity of the group. The social leader performs a useful role by helping the group members to keep aware of their importance as individuals. The most stable groups observed were those in which a coalition between the two types of leaders occurred.

The composition of committees and councils is a major factor in their effectiveness. They must have a balance of similarities and differences among the members. Similarity of purposes and some comparability of age and education and social background are desirable. Some degree of difference is also useful: interaction between people comes from differences in ideas, in points of view. Differences can be stimulating. A degree of unity, of common purposes, of willingness to work together is also necessary.

How large should committees be? For the groups studied at the Harvard laboratory, five seemed to be the desirable number. Seven seems to be the desirable maximum, unless more are needed to represent all relevant points of view. Committees as small as two or three members are best avoided if the power problem between members is likely to be critical. For some assignments, a small committee can often be very satisfactory.

Co-ordination of committee work depends largely on *communication.* Committees should be expected to report regularly to the source to which they are responsible, usually the board of directors. Routine reports at every meeting are to be avoided. Committees should be scheduled to report with reasonable regularity and frequency, however, on the progress made on their assignments, the problems they have encountered, the recommendations they want to make. In fact, the vitality of board meetings often depends on the quality of committee work done between board meetings.

The Executive and Staff Role

Helping the board of directors and the committees and councils of an organization to function effectively is a professional skill of the highest order. It is one of the key lay-professional relationships. The staff service provided is one of the critical factors in determining board and committee effectiveness.

Executives and other staff members can assist the board and the organization's committees and councils in a number of ways:

They can help in the wise selection of board and committee personnel. They can work with nominating committees, helping to inventory current strengths and weaknesses, to identify the kinds of experience needed to be added, to secure necessary information about persons suggested. They can advise with the president, or with chairmen of committees about the type of committee personnel needed and persons who might well be considered. Professional workers need to exercise caution in such consultations so that they do not exert undue influence in selection of board and committee personnel. In assisting in the selection of such personnel it is wise to search for people who are genuinely interested, or who can quickly acquire knowledge and develop interest in the work to be done. It is well to seek for balance between different groups in the organization or in the community whose interests are likely to be affected by plans or proposals. Reasonable rotation should also be sought, with a balance achieved between "continuity and change."

Executives and other staff members can help to clarify assignments given to committees. Written commissions, defining what the assignment is, giving relevant information for carrying out the responsibility, and indicating a reasonable period for the work to be done, are usually very helpful. The assignments of ongoing committees can well be reviewed and revised periodically. "Terminable projects" can often be set up. "Ad hoc" groups are sometimes useful for special tasks. When assignments to such groups are clear and a definite time schedule is established, the work of committees can be appraised, committees can be discharged as their work is completed or their terms have expired, and new committees can be constituted.

Executives can help to develop meeting agendas which aid boards to get their work done. The president and chief executive, or the committee chairman and staff executive should prepare agendas together, or at least review them together. They should review the work of previous meetings, identify "key items." They can list actions to be taken or decisions to be made, avoiding routine "O.K.'ing" of small group actions as much as possible. Sometimes possible alternative actions can be stated.

Executives and other staff members can help get "in-between meeting" work done. They can assemble necessary facts and opinions, prepare statements of issues, or draft alternative positions or actions to be considered. Necessary documents can be distributed in advance, in time for reading and study, particularly when extensive facts or complicated problems are involved.

The executives can help the president or committee chairman to develop skill in getting participation. They can encourage all members to help decide important issues and yet get work done with dispatch.

Board and committee members work with satisfaction when they are working at responsibilities they consider important and when they work efficiently. The conditions of group effort are reasonably well known. Agency executives and their staff associates are responsible for seeing that these conditions are met.

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CHAPTER SEVEN

Selecting and Organizing an Able Staff

Staff personnel is a key factor in determining the effectiveness of an organization's work and service. "Effective administration of any program," in the judgment of Marietta Stevenson, "depends primarily upon the quality of the administering personnel."[1] Clyde R. White adds, "Assuming that a good organization exists, the quality and efficiency of administration is conditioned by the suitability of personnel correctly placed in the organization."[2]

Qualified personnel is of special importance in social agencies. In relation to case work services, Gertrude R. Davis has stated: "Many authorities feel that personnel is the central point of the administration in any organization. Certainly, in the field of social case work, where the service is ultimately given in the face-to-face relationship of client and worker, this would seem particularly so. . . . [The worker] is not only the channel through which the services are understood and interpreted to and from the community, but he is also the means through which the service is offered and given. In this, the worker represents the agency, which in turn takes responsibility for his performance. It is, however, the worker's own individual capacity to help and his skill in giving help that determines to a large measure the quality and extent of the agency's service. . . ."[3] Able staff personnel is of equal importance in group work and community organization services, and in various types of institutional care.

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[1] Marietta Stevenson, *Public Agency Administration* (Chicago: University of Chicago Press, 1938), p. 190.

[2] Clyde R. White, quoted in *Ibid.*, p. 28.

Personnel Policies

All organizations which employ people have some kind of personnel policies. They may be merely a collection of understood practices about work schedules, wage or salary rates, and other working arrangements. They may have "just grown," having been taken on from general practices in the community, or they may have been based on decisions and agreements made when questions arose. Agencies accumulate policies over many years, with items individually adopted by board decision when action became necessary.

An officially adopted, comprehensive, written statement of personnel policies and practices has several specific advantages: (1) workers know the conditions under which they are expected to work and what the organization expects of them, for the statement defines the obligations of the organization and the workers; (2) comparable treatment is assured for all employees; (3) staff morale is strengthened, as fair treatment and a defined degree of security is assured; (4) executives are helped, because the necessity for many judgments regarding individuals is reduced or eliminated, except for unusual circumstances.

Official statements of personnel policy and practice in social agencies can well be developed co-operatively. A committee consisting of representatives of the board, the executives, and other employees might well (1) decide together what matters should be included, using any available check lists or policy statements of comparable organizations; (2) review policies and practices then in effect, written and unwritten; (3) consider what provisions other similar organizations have adopted; (4) consult competent sources in business, industry, education, government regarding accepted policies and practices; (5)

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[3] Gertrude R. Davis, "Executive Process in the Administration of the Case Work Agency," in *The Family* (Now *Social Casework*), February, 1945, p. 377.

provide for the participation of all employee groups—through discussions, review of proposed provisions, and incorporation of useful suggestions.

The form of such statements should distinguish between policy positions and procedures or bases for carrying out the policy. The policy section should be adopted by board action; the procedure section can be presented to the board for their information. Under such a plan, the policy section could be changed only by the board; the procedure or basis of carrying out the policy would then be a matter of executive action, possibly with the advice of a personnel committee. For example, an organization might adopt a policy of reimbursing employees for certain business expenses. The details of amounts approved, such as for automobile mileage or meal expense, defined in the "procedure or practices" section, could be subject to change by executive action, with the concurrence of the personnel committee.

A continuing personnel committee is desirable in every social agency. The personnel function is a joint responsibility of such a committee and the senior executive. Membership on the committee should include persons who are experienced in personnel matters, informed and interested in the work of the organization and its administrative philosophy. Staff or other employee representation is often desirable. In some agencies, other persons who are informed about employees' attitudes, problems and responsibilities, and who have the confidence of employees, are included; and arrangements are made for periodic conferences with employee groups, particularly if union organization is in effect for any employee groups.

The senior executive and the personnel committee must obviously maintain close working relationships. Selection of personnel committee members; annual review, appraisal, and redefinition of committee responsibilities; periodic review of personnel practices; staff development and related personnel matters—all these are among the most important responsibilities the senior executive faces. Some of these matters can be delegated, but the final responsibility for effective personnel service rests with the chief executive officer.

The various personnel matters on which policies and procedures should be established, and which should be included in official agency documents, as well as other executive responsibilities in dealing with staff, are discussed in this and the following chapter.

Selection of Staff

Selection of professional workers and other employees is one of the most important aspects of personnel administration. The personnel policy and procedure document should outline the basis of selection and the procedure to be used.

Actual selection of professional workers is made by the senior executive or his designated associates, usually with the advice of a personnel, branch, or departmental committee. In most agencies, board approval is required. Other employees are selected by designated executives or supervisors.

Qualifications for professional workers have been agreed upon in most national agencies; they should be followed. Ordinarily, they include college graduation and one or two years of professional education. A degree from a recognized school of social work, or similar educational institution, is considered desirable in many agencies; it is required by some. A number of years of social work experience is required for certain positions.

Many national agencies operate for their local affiliates a personnel service through which personnel records of and information about qualified available persons can be secured. Professional schools are also useful sources from which to secure new staff workers. Clerical, service, and maintenance workers are usually found through local employment offices.

Fitting workers appropriately to responsibilities depends upon clear conceptions of the work to be done and the abilities and skills it involves. Application forms should be used to secure essential personal data. References from previous employers, and their appraisals, should be requested. A medical examination, to make certain that the applicant's health and physical capacity meet job requirements, is sound practice. Selection should be made on the basis of merit.

Job analysis and description, and job classification, are both important steps in staff selection. "An analysis should include," says one personnel director, "(1) what the worker does, (2) how he does it, (3) why he does it, and (4) the skill involved in doing it . . . it is a description of the duties of the job, a factor analysis of performance requirements, and an analysis of hiring qualifications. . . ."[4] A simple outline which has been found useful for writing job descriptions in social agencies includes: (1) description of the position: what the position is; to whom the person is responsible; (2) duties and responsibilities; (3) qualifications; (4) relationships. (Sample job descriptions will be found in the Appendix.)

Employment interviews not only are essential in selecting workers: they also establish the basis for future relationships. Interviewers need the ability to set applicants at ease, to elicit necessary information without creating tension, and to explain job requirements and opportunities accurately and fairly.

With professional workers, invitations to join a staff are ordinarily confirmed, and often given in writing, by the senior executive or his designated associate. All important considerations, such as salary, duties and responsibilities, relationships, should be included, with reference to a written job description and the agency personnel policy, thus establishing the basis for a clear, mutual understanding.

Staff Organization

The purpose of staff organization is to make the agency's services available as efficiently and effectively as possible. In organizing the staff, the executive seeks to distribute work appropriately, to have the staff work together effectively and co-operatively, and to provide for the growth and development of staff members.

The exact form of staff organization will depend upon the over-all organization structure, the type of service or services, the membership or clientele, financial resources, equipment, and similar factors. The essentials of sound organization, as outlined in Chapter 5, apply to staff organization and relationships. Staff members derive their authority and their assignments from the agency executive. Lines of responsibility and authority must be kept clear.

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[4] Dorothea E. Higgins, "Job Classification and Upgrading," in *YMCA Employee Training* (New York: Association Press, 1952), pp. 51, 53.

"Line and staff" relationships. An understanding of the concept of "line and staff" functions and responsibilities, used in military organization and in business and industry, is useful in thinking about staff organization in community service organizations. In military organization, the "line" is the operating force, and the "staff" is the planning and service force. In business and industry, the line organization consists of the production, sales, operating or general management groups; the staff organization is responsible for finance and accounting, public relations, research, and, sometimes, personnel.

"Line" organization, sometimes referred to as "vertical" or "perpendicular" organization or specialization, is based, according to Simon, on at least three reasons: "First, . . . vertical specialization is . . . essential to achieve co-ordination among operative employees. Second, . . . vertical specialization permits greater expertise in the making of decisions. Third, vertical specialization permits the operative personnel to be held accountable for their decisions. . . ."[5]

"Staff" personnel operate primarily on an advisory, rather than an authoritative, basis. Their function is to deal with problems which require more time or greater specialization than the operating staff has available. Their authority is primarily the authority of ideas, of persuasion.

In a community service agency which has a number of branches or district offices, headquarters staff divisions provide accounting or research service, or staff training or other personnel services. Staff service, in its technical sense, is also provided in smaller, single-unit organizations: in such cases, the accounting services are a "staff" function; the executive himself acts occasionally in a "staff" role, as he advises and persuades. The immediate associates of the senior executive of a large social agency, such as an assistant or associate executive, actually function on behalf of the senior executive. In such a role, he is often delegated to act with the authority of the executive himself.

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[5] Herbert A. Simon, *Administrative Behavior* (New York: The Macmillan Company, 1948), p. 9.

In actual practice, in business and industry as well as in social agencies, the distinction between "line and staff" functions is not rigid. Considerable flexibility is necessary. In some cases, the same executive may have to carry both operating and advisory functions. The functions are different, however, and sounder relationships are likely to develop if the distinctions are kept clear.

Job classifications. The broadest possible classification of positions in social agencies is between the professional positions and the clerical, maintenance, and service positions. Some national organizations have their own classification plan: for example, the YMCA classifies employees into four groups—two for professional workers and two for nonprofessional employees. Some agencies classify workers as: Executive, Branch Executive, Supervisor I, Supervisor II, Case Worker I, Case Worker II, Department Head I, Department Head II, Group Worker I, Group Worker II, etc., with similar classifications for clerical, service, and maintenance personnel.

Job classification, when approached technically, is usually based on either the Factor Comparison Method or the Point System of Evaluation, but a simpler method is adequate for most community service organizations. Job descriptions are first developed for each position. Using the information in the job descriptions, all positions can then be listed vertically, with the one requiring the highest skills and involving the most difficult performance and most responsibility at the top, with others ranging down. Department or branch units may then be listed across the top. The chart and job descriptions can be analyzed, grouping jobs at various levels of requirements. The positions falling into the different classifications should have approximately the same requirements, and a wage and salary scale can then be related to these classifications.

The classification plan used should be as simple and as suitable as possible for each agency.

Co-ordination. As Mary Parker Follett has written, ". . . what the organization does, its unified activity, depends not on the constituents alone, but on *how these constituents are related to each other.*"[6]

Co-ordination of staff efforts is an executive responsibility. Executives make provision for direct, face-to-face contacts, early action, mutual response, and continuity of working relationships. They utilize the essential steps for co-ordination outlined by Tead: "(1) There has to be assembled an adequate body of *relevant fact and informed opinion;* (2) this requires *presentation* (communication) *of fact and opinion by those who have them;* (3) there has to be *definition of who has responsibility for all specific operating duties;* (4) there has to be *knowledge, ability, and agreement so that those severally responsible will carry out the assignment;* (5) this requires *communication and often some form of persuasion;* (6) there has to be *review and continuing appraisal of results, including the weighing of criticism.* . . . A final indispensable element is *a conscious drive to create 'functional unity' in the project as a whole, a sense of collective responsibility and good team-play.*"[7]

Working Arrangements

The official statement of personnel policies and practices should provide for working arrangements which will result in effective work and the interest, loyalty, and personal satisfaction of employees.

WORK SCHEDULES

Definite work week schedules, understood at the time of employment and changed when necessary by mutual agreement, should be established. For clerical, maintenance, and other service employees, the length of working day and week should accord with best current local practice and existing legislation. For professional workers, who deal with human needs and services, work schedules present more difficulties:

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[6] Mary Parker Follett, *Dynamic Administration,* Metcalf and Urwick, Eds. (New York: Harper and Brothers, 1942), p. 297.

[7] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, Inc., 1951), p. 182. Used by permission.

services must be available, and work with lay groups must often be done when people are free from other responsibilities; and yet reasonable and equitable work schedules, which permit adequate time for rest, recreation, and other personal affairs, must be established.

Five-day work weeks have proved feasible in many agencies. Every worker, regardless of responsibilities, should have one day's rest in each seven. National and state-recognized holidays should be observed without loss of pay. Equivalent time should be provided when holiday work is necessary. Work days should be limited, as a general rule, to two work periods each day, consecutive if possible. Evening work periods for professional workers should be limited to four each week; three work evenings are more desirable, for the worker and the agency.

PHYSICAL WORKING FACILITIES

Satisfactory physical working facilities and conditions are essential to efficient work and to worker satisfaction. Adequate light, heat, ventilation, fire protection, sanitary and rest facilities, safe-keeping of possessions are fundamental. Furniture and equipment adapted to the work, necessary telephone and clerical service, adequate supplies, pleasant and attractive surroundings are necessary.

COMPENSATION

Community service organizations should have a wage and salary plan, with rates established for each class of positions, based on a comprehensive, carefully worked out position-classification plan. *Ranges*—a minimum and maximum for each class, with a series of intermediate *steps* permitting periodic increases for increased competence—should be included. Increases should be considered at regularly specified intervals.

Factors which ordinarily determine the level of wages and salaries include (1) the value of the services, and the degree of responsibility involved in each position—scope, complexity, difficulty; (2) qualifications required to fulfill the responsibilities adequately; (3) availability of qualified persons—the labor market; (4) wages and salaries paid for similar work—

in similar agencies in the community and in other communities in the same agency; (5) recommendations of national agencies and of professional societies, such as the American Association of Social Workers or the American Association of Group Workers; (6) any state or federal legislation which may apply, such as hours of work, minimum hourly rates for nonprofessional employees; and (7) the funds available. Social agencies should also take into account the necessary wage and salary basis for desirable living levels for employees.

The study of salaries and working conditions in social work, conducted in 1950 by the Bureau of Labor Statistics at the request of the National Council on Social Work Education,[8] indicates that salary levels as yet leave much to be desired, if these important community services are to be provided on an effective basis, and if workers are to be recompensed in accordance with the necessary preparation and the social value of their work.

EVALUATION—APPRAISAL

Agencies should provide evaluations for all employees, at regular intervals, on a series of job elements mutually agreed upon as comprising the work assignment. Informal evaluation is a continuous process; more systematic appraisal should also be done.

The process known as "merit rating" helps to provide an objective basis for identifying employees' strong and weak points, the spot at which skills can best be used and measures for improvement taken, and those employees who are ready for advancement. Mace reports that "the mere existence . . . of systematic personnel appraisals . . . constitutes an important incentive to the people in the organization."[9]

Technical counsel can be secured in most communities to set up such a process. Ratings should be in writing and should be made by persons who know the requirements for each job, the standards of comparison, and the performance of the worker. (Forms used in some community agencies for ratings will be found in the Appendix.) The composite ratings should be used as the basis of an interview with each worker. In some procedures, the worker has an opportunity to review the written summary of his evaluation and has the opportunity to file a statement covering any points on which he disagrees with the evaluation.

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[8] *Social Workers in 1950: A Report on the Study of Salaries and Working Conditions in Social Work* (New York: American Association of Social Workers, 1952), 78 pp.

[9] Myles L. Mace, *The Growth and Development of Executives* (Boston: Graduate School of Business Administration, Harvard University, 1950), p. 52.

In agencies operating under civil service, the narrative is usually reduced to numerical terms for purposes of comparison of ratings with those of other employees and is known as a service rating. Employees are accorded the right to know how they are scored and to file a demurrer if they are not in agreement with the rating. The responsibility for the rating, however, remains that of the evaluator.

Continuation of employment should be based on employees' continuing satisfactory performance. Employees who have completed stated probationary periods satisfactorily, and who meet standards of performance, have a right to continue in a position without fear of demotion or dismissal, unless retrenchment or reorganization eliminates the need for services. The right to know the reasons, and to be given a hearing if desired, must be provided.

PROMOTION AND ADVANCEMENT

Promotions should be based on appraisal of performance and capacity for available new positions. Staff members within an organization should receive first consideration in filling vacancies, but they should be equal to other available workers in skill and capacity. Capable, younger workers should be helped to become ready for advancement. After a reasonable period of service, they should be assisted to secure new positions for which they are qualified, even though the work of the agency may be somewhat handicapped. The development of "second line" staff and promotion within agencies can minimize the effect of losses of personnel to other organizations.

VACATIONS

A definite period of vacation with pay should be a part of the working arrangement for every employee. For periods of less than a full year's employment, proportional vacation allowances should be granted. Although the purpose of a vacation, from the agency's point of view, is rest and recreation in preparation for the following year's work, vacations should be provided whether or not the employee continues in the agency's employ.

Clerical, maintenance, and other service employees ordinarily receive two weeks' vacation after a full year's employment. It has been found desirable, in some agencies, to grant three weeks' vacation after ten or fifteen years' employment.

Professional workers in most agencies receive four weeks' vacation. The longer work week, and the necessity in many agencies for evening work justify the longer vacation. The reasons for longer vacations to professional workers should be made clear to all employees.

Time off from work to attend approved conferences or for study, illness, jury duty, compulsory military service, or holidays, should not be considered part of vacation periods.

OTHER LEAVES

Illness. Time off with pay for illness is a general practice. Two weeks' allowance, after a year's employment, is the general practice; some agencies provide longer periods. A doctor's certificate, for illness beyond a specified period, is usually required. In cases of prolonged illness, provision for extension is often made, with length of service and amount of previous sick leave taken into account.

Maternity. Many agencies provide for maternity leave without pay for a specified period of time, preferably at least six months, and not longer than one year, after six months' or more employment. Unused sick leave ordinarily can be applied.

Educational leaves. In addition to encouraging continued formal, professional study while carrying full-time work schedules, many agencies provide educational leaves for full-time study. Continuing professional education, both for completing professional preparation and for keeping in touch with new developments, is advantageous both to worker and agency. Criteria on which educational leave is granted should be established and made known to all staff members. Such leaves may be subsidized by the employing organization in part or in full. The basis and the conditions should be definite and known.

Other leaves, such as for military service, personal business or illness in workers' immediate families, should be available when needed and their basis outlined in the agency personnel manual.

SECURITY PROVISIONS

Federal Old-Age and Survivors Insurance. Employees of social agencies became eligible for this type of insurance, on a voluntary basis, on January 1, 1951. The benefits include (1) old-age retirement benefits to workers, wives, and dependent husbands; (2) benefits to children of these retired people; (3) benefits to widows or children of dependent parents if the wage earner or pensioner dies; and (4) a small death benefit. The advantages of such coverage are so obvious that most social agencies provide it for their workers. Beginning with January 1, 1955, both the worker and the employing organization pay two per cent on salary or wages up to $4,200 per year.

Private plans. The National Health and Welfare Retirement Association, Inc., established in 1945, provides a supplementary retirement plan on a worker and agency contributing basis. Certain individual organizations, such as the YMCA, YWCA, Boy Scouts of America, and the American National Red Cross, have had comparable plans in operation for a longer period.

A combination of the federal plan and a private plan is desirable to provide an adequate retirement basis for workers.

Workmen's Compensation. A legal requirement, this plan provides for medical care and a portion of lost income. The insurance is carried through a private insurance company, and the total cost is paid by the employing organization. Some agencies provide a supplementary amount sufficient to cover full wages or salary and medical costs for six months, for employees injured in line of duty.

Hospital, medical and group life insurance. Many agencies assist employees to develop group hospital, medical insurance, and, in some cases, group life insurance.

UNION ORGANIZATION

Social agency executives must be ready to deal with the question of union organization. Opinions are divided about their necessity and suitability in community service agencies, particularly for professional staff members. Some agencies have contracts with unions, especially for nonprofessional employees; others have no such contracts.

The basic right to organize is clear: all workers have the legal right to organize into a union or to join a union. The statement of civil rights in social work, adopted by the American Association of Social Workers, affirms this right, both for professional workers and for nonprofessional employees.

Some professional workers take the position that their professional societies provide an appropriate organized channel for dealing with professional problems. Others believe that affiliation with the trade union movement is a necessary expression of their social philosophy and a more adequate protection for workers.

Boards and executives have a basic responsibility to adopt and follow personnel policies and practices which provide satisfying working conditions and relationships, regardless of whether their workers are unionized or not.

APPEALS PROCEDURES

Provision should be made for the adjustment of personnel issues which may arise in any agency; the procedure for hearing such appeals should be described in the personnel manual. Normal channels—to one's supervisor, then through each successive administrative level to the agency executive—should first be used. Other channels, possibly involving the personnel committee or the board itself, or an "impartial" group representing both the employer and the employee, may be established. The final responsibility for personnel action rests with the board itself.

Plans in smaller agencies for adjusting personnel difficulties may be more informal than in larger organizations, but every effort should be made, in all cases, to work out mutually satisfactory adjustments. Fair and considerate treatment, with a continuous opportunity to discuss problems will eliminate the necessity, in most agencies, for the use of formal grievance procedures.

EXPRESSION OF PERSONAL VIEWS

Professional workers and other employees have full right, as individual citizens, to express their personal views on public issues. They also become identified, in the public mind, with their employing organization. Their rights as individual citizens must be protected. It should be made as clear as possible, however, that the individual's position on a public question may not be the agency position. Agency executives and boards have a dual responsibility: to provide for the rights of workers to participate as individual citizens, and to safeguard the interests of the agency.

RESIGNATIONS AND RELEASES

Definite, well-understood arrangements for releases and resignations should be made. Length of advance notice, formulas for lay-offs and rehiring during any necessary periods of retrenchment, separation wage if any and under what conditions, should be defined. Two weeks' notice for nonprofessional workers and one month for professional workers, by the worker in case of resignation, or by the agency in case of release, is considered minimum. The more responsible the position is, the longer the notice should be.

Fundamentals of Democratic Staff Relationships

Staff organization and staff relationships, in a social agency dedicated to human welfare, should be co-operative and democratic in nature. To be otherwise, would be inconsistent with the purposes of the agency itself. Certain basic concepts are involved, and agency executives are responsible for keeping them clearly identified and used as guides for practice. They are inherent in all the policies and practices thus far discussed and those which follow in later chapters. Among these concepts, the following merit particular consideration:

A respect for and acceptance of persons is fundamental. An agency executive encourages respect for others by the way in which he deals with everyone in the organization, regardless of their status or background. If he actually believes in the dignity and worth of all individuals, regardless of economic or social position, or race or creed or color, his behavior will help to set the social climate of the agency and he will have a part in establishing policies and procedures and relationships which are consistent with such a concept among all persons in the organization.

A sense of mutuality and confidence is necessary. An executive must demonstrate, in day-to-day relationships, his confidence in those with whom he works. He must learn to wear the mantle of authority easily. He must develop skill in showing how he can learn from others, how he depends on others, if they are to contribute fully to the mutual relationships involved. He must learn to involve others in decision making.

An atmosphere conducive to self-expression and relaxed relationships is essential. No other one person can do so much as the agency executive in developing such an atmosphere. Other staff members sometimes have to be encouraged to express their attitudes and points of view. Executives sometimes quite unintentionally discourage differences of opinion. Sometimes nonconformity is penalized. Agency executives need to delay stating their opinions and judgments, on occasion, to elicit the viewpoints of younger staff members and of other persons in the less responsible positions. If the executive can be relaxed in his relationships, if he can encourage honest, critical thinking and speaking by others, he will help to establish an atmosphere in which all others may contribute to their maximum.

Freedom from fear, insecurity, and frustration underlie cooperative, democratic relationships. Executives can help by assuring tenure of employment, by establishing conditions for satisfying personal relationships, by eliminating causes of tensions.

Equity in work loads and responsibilities and in use of facilities are also necessary. Some staff members must be encouraged to limit their work schedules; others must be stimulated to add to them. Reasonable equity of work loads is fundamental to sound relationships. Access to any of the agency's facilities or services for personal use must be on an equal basis for all. The executive himself must not claim, nor permit to develop, any special privileges for himself, unless they are clearly necessary to carry out his responsibilities.

Use of the group process in planning and decision making is one of the major ways by which democratic relationships are established. As the agency executive uses the group process himself he will encourage its use with others. He will, by demonstration, be teaching others how it can be used effectively.

A sense of discipline and a sense of mutual responsibility and accountability must, at the same time, be developed. Co-operative relationships must be responsible relationships. If people are to be free to choose, to help make decisions, they must accept a degree of responsibility for results. Participation in co-operative, democratic relationships involves more self-discipline and more mutual responsibility than authoritarian relationships require.

A sense of "wholeness" and responsibility for the total enterprise is inherent. Executives need to keep pointing out how the work of one part of the organization relates to other parts, how the work of different persons depends on the work of others. They need to create opportunities for people to see the "end product"—the way in which their efforts have resulted in improving the services of the whole organization.

A sense of personal and group achievement in realizing personal goals and agency purposes is also fundamental to democratic staff relationships. Every employee is motivated by a number of personal goals in connection with his work, such as his income, his status with other employees, and other factors. Some of these goals have little if any particular relationship to the purposes of the organization. Yet in a social agency, each worker either helps to achieve or to handicap the carrying out of the organization's purposes. Co-operative, democratic relationships are furthered if each person feels that both personal and agency goals are being achieved. An agency executive can help workers to realize that both sets of goals are recognized as valid, and that he and the agency are concerned that both sets of goals be achieved.

SUGGESTIONS FOR FURTHER READING

Benge, E. J., Burk, S. L. H., and Hay, E. N., *Manual of Job Evaluation: Procedures of Job Analysis and Appraisal.*

Bunting, James F., "Selecting, Training, and Supervising Employed Personnel," *The Executive Role in YMCA Administration,* pp. 174-202.

Mace, Myles L., "Appraisal and Inventory," *The Growth and Development of Executives,* pp. 48-82.

"Personnel Practices in Social Work," *Standards for the Professional Practice of Social Work* (American Association of Social Work, 1951), pp. 7-14.

"Personnel Standards in Social Welfare," *Social Work Year Book, 1951,* pp. 342-350.

CHAPTER EIGHT

Developing an Able Staff

STAFF DEVELOPMENT DEPENDS, to a large degree, on staff selection and organization, as discussed in Chapter 7. It also depends upon the concepts of administration which guide practice, including those of the executive role and organizational structure and procedures. A specific program of staff development is also necessary.

Staff development, as discussed in this chapter, presupposes adequate basic professional training. In actual practice, completion of basic professional training must, in some cases, continue alongside in-service training. Many workers enter social welfare services without having completed preprofessional training; that basic preparation, and further professional training, must often be combined or carried on at the same time. In-service training, however, is a continuation of training; it is a supplement to, not a substitute for basic professional training.

Some of the reasons that in-service training is particularly needed in social welfare have been summarized as follows: "(1) a shortage of appropriately qualified professional social workers in relation to demand; (2) a lack of appropriate training for large numbers of those engaged in various forms of social welfare activity; (3) a need to provide job-orientation to agency personnel, both qualified and unqualified, and to give some limited amount of actual training to the latter; and (4) a need to improve continuously the performance of all workers in the service of a social welfare agency."[1]

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[1] *In-Service Training in Social Welfare* (New York: United Nations, Department of Social Affairs, 1952), p. 4.

Two agency purposes in staff development are generally accepted: to get the work of the organization done responsibly and effectively; and to further the growth and development of all staff workers, as each carries out his part of the work in the course of day-to-day operations. These are interrelated and interdependent goals.

Principles and Methods of a Staff Development Program

Well-established principles and methods of a staff development program have been outlined by Alice L. Taylor:

1. All staff, regardless of their qualifications on entrance to employment, should have:
    a. Orientation to the philosophy, structure, and objectives of the agency program;
    b. Opportunity for continued growth on the job.
    All staff includes the trained and the untrained. All staff includes the executives, the supervisors, and the clerical staff (and maintenance and service workers) as well as those providing direct services to individuals, groups, and community.
2. Competent leadership through supervision, in executive and consultant positions, and in units of positions having responsibility for over-all direction of staff training is essential if staff development is to have the administrative status and support necessary to be effective.
3. The content of training stems from program and staff needs. Content must be dynamic and changing if it is to remain vital and to keep abreast of agency development and professional changes as these relate to shifts in programs and in the responsibility of social work to society.
4. Education for social work is a continuing process that begins as early as the attitudes laid down in family and school environment. It includes undergraduate college years, focuses largely in the basic and specialized graduate study taken before or after periods of agency experience, and should be carried on in agency practice and professional association.
5. Staff development consists of:
    a. Induction;
    b. Supervision;
    c. Participation of staff in policy formulation;

d. Educational leave plans and policy;
e. Adequate and up-to-date equipment with which to work;
f. Full use of supplementary resources within the agency, the community and the schools. These usually include attendance at professional conferences, special study sessions, institutes, and refresher opportunities of various sorts.[2]

Orientation of New Workers

Orientation of new workers actually begins with the selection interview. As agency executives interpret the agency and its work, and the position for which the candidate is being considered and is considering, the orientation process is in effect. "When the staff worker . . . has been chosen, the task before the supervisor is to acquaint him with the community, the agency, and the specific [responsibilities] with which he will work."[3]

A variety of methods can be used in the orientation and induction process: interviews by the executive and other senior supervisors, introductions and conferences with other staff members and board members, visits to other agencies, observation of work in progress in the agency, examination of agency documents and materials, orientation courses.

Considerable time will be needed, particularly in the first week or two, giving information about the community—helping the new worker to learn the general physical pattern, where important landmarks are located, where the principal residential areas are—in short, helping him to find his way around and begin to develop a sense of at-homeness. Workers need to be introduced to some of the basic sociological facts: the basic population data, what the major ethnic groups are and where they live; where the lower income, middle income, and higher income groups live; what the major "problem-areas" of the city are, in terms of dependency, disease, delinquency, and crime.

New workers also need a good deal of information about the agency and about his or her particular position in relation to others. The executive and the worker's immediate supervisor can well spend time in reviewing something of the agency's background, its strengths and its weaknesses, its relationships and its status in the community, its resources of lay and professional personnel, its financial resources and procedures, its personnel policies. Printed or mimeographed materials, with marked sections, can be used to good advantage. Such information must be realistic. Most mature persons can face limitations without discouragement if they feel they can help to build a stronger organization and more effective service.

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[2] Alice L. Taylor, "Agency Responsibility for Staff Development," *Selected Papers in Group Work and Community Organization* (Columbus, Ohio: National Conference of Social Work, 1952), p. 91.

[3] "Orientation of the Worker," *The Supervision of Group Work and Recreation,* H. S. Dimock and H. B. Trecker, p. 88.

The orientation process cannot be completed within a few days or a few weeks. Executives and supervisors must exercise care that new workers are not overwhelmed with information and materials in their first few days. Selection must be made to make sure they have what they will need immediately and then that they are continuously introduced to additional facts about the agency and the community over a period of at least several months.

The orientation period is crucial—to the new worker, to other staff members, and to the work of the entire organization. The initial weeks, on a new job in a new community, can be critically determining factors in a worker's effectiveness. This is the time when relationships with other staff members, and particularly with a new supervisor and executive, are being established. It is the time when a new worker is becoming established in the agency and in the community, when he is developing a sense of ease and security with co-workers, when he is beginning to see and to realize some of the possibilities of his new position. Executives and other supervisors have a primary responsibility to make the orientation and induction period for new staff members a profitable one.

Supervision

Supervision, the person-to-person teaching and coaching process, is one of the most potentially effective methods of staff development. In many organizations, however, it is relatively ineffective—haphazard, irregular, superficial.

Studies in industry substantiate the importance of supervision in almost any type of work. "A major conclusion of this study is that the most effective way of learning what is involved in the performance of executive functions is by doing. People learn by doing. . . . This belief does not mean, of course, that individuals cannot learn through participation in off-the-job growth and development efforts. There are many augmentative sources of . . . knowledge which contributed to . . . capacities. . . . The best classroom possible is to be found in the work situation and, unfortunately, many organizations do not take advantage of its educational possibilities. . . . The superior officer is the real determinant of what his subordinates learn on the job. . . ."[4] Another series of studies revealed that productivity is greatly influenced by supervisory relationships: "The employees with highest production records were more likely to report a good over-all relationship with their foreman, in terms of the quality of his supervision, the way they got along with him, and the interest he took in them."[5]

Supervision is face-to-face oversight of assigned tasks and responsibilities for the purpose of assuring proper and effective performance. The supervisor, to be effective, ordinarily needs wider experience than the person being supervised, a thorough background of training, emotional poise and security, and teaching skills. "Successful supervisors of social case work can only be those who are so acquainted with social case work practice as to be able to impart it, in ways consistent with pedagogical knowledge and principles but also with case work. . . . Supervision is essentially teaching."[6] Supervisors also learn through the supervisory process. An exchange of ideas, facts, judgments is never one-sided. Supervision is based on a *mutual* facing of problems: of bringing the intimate, firsthand knowledge of the person being supervised to focus against the broader background and seasoned experience of the supervisor. Both profit.

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[4] Myles L. Mace, *The Growth and Development of Executives* (Boston: Graduate School of Business Administration, Harvard University, 1950), p. 192.

[5] Robert L. Kahn and Daniel Katz, "Leadership Practices in Relation to Productivity and Morale," *Group Dynamics: Research and Theory,* Dorwin Cartwright and Alvin Zander, Eds. (Evanston, Ill.: Row, Peterson, and Company, 1953), p. 621.

[6] Gertrude R. Davis, "The Executive Process in the Administration of the Social Case Work Agency," in *The Family* (now *Social Casework*), February, 1945, p. 375.

The conditions of the relationship between the supervisor and the supervisee need to be understood. Douglas McGregor has identified three conditions as: "social atmosphere"—acceptance and approval which dispels fear, anxiety, suspicion; "time perspective"; and "consistency of discipline." He says, "When the [person supervised] has achieved a reasonable degree of genuine security in his relationship . . . he will begin to seek ways of utilizing more fully his capacities and skills, of achieving through his own efforts a larger degree of satisfaction from his work. Given security, [he] seeks to develop himself. This *active* search for independence is constructive and healthy. It is collaborative and friendly, yet genuinely self-assertive."[7] Supervision seeks not only to improve workmanship; it seeks to stimulate growth, and capacity to perform well with less direction.

A number of supervisory methods will be found useful by executives and other supervisors:

The individual interview. This is the most widely used method and is generally considered the most useful: the specific needs of the individual worker can be discussed frankly and confidentially; a mutually helpful relationship can be established.

Supervisory observation. Used more in group work and community organization situations, this method gives the supervisor a firsthand "feel" of the situation; it reveals attitudes and relationships and methods. Used in an objective way, it furnishes a realistic basis for supervisory interviews and coaching.

Supervisory group conferences. This method is supplemental to individual conferences. It can be useful in imparting information about policies and plans, in discussing common issues and in making plans, in providing needed catharsis, in strengthening a sense of common purpose and unity of effort.

Periodic evaluations of workers. Appraisals, such as those discussed in Chapter 7, page 85, can be useful in providing a basis for supervisory conferences, for planning ways to increase competence, and as a basis for effecting transfers, promotions, resignations.

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[7] Douglas McGregor, "Determination of Morale in an Industrial Company," *Journal of Applied Anthropology,* Vol. I, No. 2, 1942.

Supervision also occurs through a number of other processes: the informal, day-to-day contacts which executives and their associates have with other staff members, through telephone conversations, letters, reports and records, bulletins, and other agency documents.

These various methods of supervision are not used most effectively in isolation—they are interrelated and interdependent, they must be employed in combination with one another. The most appropriate balance of supervisory methods used, in a particular agency, will depend upon the needs of the workers and the agency.

Other Staff Development Plans

A number of other training and staff development methods and plans are used in community service organization, in addition to orientation of new workers and supervision, which have been discussed.

Staff meetings. Regular meetings of the professional staff can, when well planned, contribute directly to the growth of staff members. They need not deal only with matters of schedules and clearance of plans. They can relate practice to theory; they can relate doing and learning, or emphasize "learning while doing." Occasional meetings of nonprofessional workers can also be used for genuinely educative purposes.

Staff committees. Problems and projects which require special study and planning can be done by staff committees. Committee work can be a means of professional growth, when problems are analyzed co-operatively, new resources are explored, and inventive solutions are devised and tried. Leon Richman's comment about staff committees in children's institutions applies equally to other types of social agencies: ". . . staff committees provide opportunities for professional development. . . . Committees can analyze and evaluate institutional practices in the light of current concepts and present the result to the whole staff for consideration. This process, which entails deliberation and discipline, is growth producing."[8]

Agency training conferences. Some agencies conduct staff training sessions each year, with monthly or bimonthly sessions. Such programs are likely to be most useful when they are developed by the staff itself, possibly through committee work. A major year's topic, such as supervision, community resources and relationships, or volunteer service, with sections of the total topic considered at each session, has proved useful in some staff groups. Some national agencies have developed materials for staff study, with syllabi outlining topics, reading resources, and experimental projects.[9] Leadership from within the staff, and on occasions, from outside the staff, can be used. Unless careful planning is done, self-study can become haphazard and superficial. Constant care must be taken to keep such staff-training sessions on a sound academic, though practical, level. Smaller agencies have sometimes found it feasible to join with other nearby agencies to provide a sufficient number of staff for such staff-training ventures.

State, area, and national conferences. Conferences which include workers from many communities are valuable for stimulating thinking and widening perspectives. Many agency conferences, held on an annual or biennial basis, deal with basic professional concerns. Interagency conferences, such as state conferences of social work and the National Conference of Social Work, have great potentialities for professional development. Special institutes and workshops, dealing with special services emphases or clientele, are also useful for selected staff members. Provision should be made in agency budgets for such conference expense.

Formal study. Professional courses are available in or near many communities, in schools of social work, and in schools of education. Many staff members find it possible to continue part-time professional study while holding a full-time position.

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[8] Leon H. Richman, "Sound Administration: The Key That Unlocks," *Creative Group Living in a Children's Institution,* Susanne Schulze, Ed. (New York: Association Press, 1951), p. 30.

[9] H. S. Dimock, R. C. Lancaster, and T. W. Merriam, *Manual of Local Staff Training* (New York: Association Press, 1948).

Such combining of study and work has definite advantages, provided the total work load is kept manageable. Some workers thus complete basic professional preparation; others keep up to date through refresher courses. Professional education—both formal and informal—can, like general education, be a lifelong process. Agency executives can well encourage such practice.

Personal reading and observation. Every professional worker needs a basic, personal professional library. It is an essential professional investment. Well-selected books, pamphlets and magazines, which are readily available where desired, at work or at home, which can be marked and underlined if necessary, and which can be taken wherever one is located in a position, are essential resources. Agency staff libraries should supplement personal collections of professional literature, majoring on more detailed, and perhaps more expensive, materials. Personal observation, in other units of the same agency in other communities, and in other agencies in the same community, can be a source of new ideas. Agency budgets and work schedules can well include provision for staff libraries and occasional observation visits.

Professional Organizations

Active membership in appropriate professional societies, both within one's agency, and in interagency bodies, such as the American Association of Social Workers, the American Association of Group Workers or others, is an indispensable means of continued professional competence and growth.

Membership in both an agency and an interagency professional organization is desirable. The merger of five interagency professional organizations—the American Association of Social Workers, American Association of Group Workers, American Association of Medical Social Workers, American Association of Psychiatric Social Workers, and National Association of School Social Workers—may prove to be an important forward step in professional society influence.

Professional society activity is primarily a personal, professional responsibility, but agencies can well encourage such participation as a means of helping staff members keep alert to new developments.

Personnel Records and Reports

Adequate records and reports must be maintained if the personnel policies and practices which have been here advocated are to be carried out effectively. These records should be kept up to date, be conveniently accessible for proper use, and be used only by authorized persons who will respect their confidential nature. They are essential for appraisal, supervision, staff development, and relocation.

Basic personnel records include (1) *personal history records*—developed first on the occasion of original employment and supplemented by related references, copies of employment agreements, and the like; (2) *employee's history record*—a summary of essential information taken from the personal history record or employment application, a record of positions held, of wage and salary adjustments, physical examinations, and so on; (3) *achievement or service ratings*—progress reports, achievement and service ratings filed, along with correspondence, memoranda, or other well-selected material which shows the progress of staff members. Many of the national agencies have such forms available for their local affiliates.

A Continuous Process

Staff development is a continuous process. It is both a personal and an agency responsibility. It involves everyone on the staff, new workers and experienced workers, persons in positions of lesser and greater responsibilities, in all types of positions. "Real in-service training," the United Nations In-Service Training study emphasizes, "does not mean sporadically training some of the staff some of the time, but planning to develop all of the staff all of the time. . . . Training-on-the-job essentially means continuously improving every staff member's performance. It is therefore a responsibility which rests first and last upon each staff member himself and upon each in relation to others for whose work he is responsible. . . ."[10]

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[10] *In-Service Training in Social Welfare* (New York: United Nations Department of Social Affairs, 1952), p. 44.

SUGGESTIONS FOR FURTHER READING

Dimock, H. S., and Trecker, Harleigh B., "Orientation of the New Worker," *The Supervision of Group Work and Recreation,* pp. 87-101.

In-Service Training in Social Welfare.

Mace, Myles L., "Coaching," *The Growth and Development of Executives,* pp. 107-156.

Pfiffner, John M., "The Supervisory Behavior Pattern," *An Outline of the Supervisor's Job,* American Management Association pamphlet, reprinted from *Personnel,* Vol. 23, No. 3.

"Some Factors in Planning Effective Supervision," *Toward Improved Field Supervision in the USO,* pp. 33-35.

CHAPTER NINE

Keeping the Services Effective

PROVIDING EFFECTIVE SERVICES is central to the purposes of sound administration in community service agencies. It is all too easy, however, for executives and boards of directors to become absorbed in the business affairs of the agency, such as financial and legal problems, or building operation and maintenance. The pressure of such executive responsibilities is such that many executives tend to lose close touch with new developments in services and in program, or at best, to maintain only a casual, superficial understanding of them. Effective services are a central, continuing executive responsibility.

In some ways, it is easier for executives and boards of small agencies to keep intimately acquainted with the services of their agency and with new developments in their field. Many such executives, with a small number of other professional staff members, directly supervise services; many of them carry a personal case load or group work load. Relationships in small agencies tend to be personal and informal. Executives in small agencies must be responsible for a variety of functions; despite the problems thus entailed, such executives can be closely and continuously informed about their agency's services.

Essential Bases for Effective Services

Effective services in a community service agency are based on a number of factors:

1. The needs of the people in the agency's clientele or constituency—the actual, factually determined needs
2. The objectives and purposes for which the agency was organized

3. The range and scope of services, and the geographical territory within which the agency can work effectively and for which it has adequate personnel, funds, necessary facilities and equipment, experience and program resources
4. The total pattern of related services in the community: what other kindred services are available, where they are located, what individuals and groups they include
5. Basic facts about the clientele or membership and about the community itself
6. The readiness of a community, a neighborhood, or groups of individuals to help establish, guide, finance and use the services

Vital Planning and Reviewing Processes

The effectiveness of services depends, to a considerable degree, on the vitality of the planning and reviewing processes in an agency. Boards of directors and chief executive officers need to know what the characteristics of good service are, particularly of the type provided by their agency. Program and service policies, co-operatively developed by people all through the organization and officially adopted by the board, are essential. Plans under consideration, and work in progress, must be brought for periodic review. Adequate records and reports, and utilization of the best available criteria and standards, are necessary factors.

Simon comments, ". . . during the entire process of formulation, suggestions and recommendations [must flow] freely from all parts of the organization without raising the question of 'unity of command' . . . the formal organization has relevance only in the final stages of the whole process."[1] Review will often include the *results* of activities, measured in terms of their objectives, the tangible *products,* if there are such, or the *method* of performance. Simon further comments, "Review enables those who are in a position of authority . . . to determine what actually is being done . . . the degree to which the organizational objective is attained . . . [and whether the] completed work . . . meets the requirements of *quantity* and *quality*."[2]

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[1] Herbert A. Simon, *Administrative Behavior* (New York: The Macmillan Company, 1948), p. 230. By permission of The Macmillan Company.

Review is one of the functions of the supervisory process. It is both a board and an executive function. Periodic provision for reporting and analyzing individual cases, the progress of particular groups in the program and for wider plans and programs the agency has in operation is necessary. The competence of the persons doing the supervision is important. The nature and methods of supervision were discussed in Chapter 8. It is important to note here, however, the important relation supervision has to the responsibility for keeping the services effective.

Basic Facts Necessary

Basic facts about the community—its people, its social institutions, its problems—and about the agency—the persons it serves, its resources and its limitations—are necessary as a foundation for program planning.

Community data needed. Community data should include facts about (a) who the people are—racial, nationality, religious, economic and age groups, numbers, trends, mobility; (b) how they live—housing, land use, traffic; (c) how they work—employment, types, stability; (d) social well-being and social breakdown—relief, unemployment, health, adult and juvenile crime, family disorganization, intergroup relations; (e) community resources—schools, churches, libraries, museums, public and private social agencies, commercial recreation, civic and communal groups and organizations.

Agency data needed. Available agency data should include facts about (a) trends in membership and clientele; (b) analyses of weekly and monthly reports and summaries of case work, group work, and other types of services; (c) identification of special problems and needs among the membership and clientele, and of shifts in program and services; (d) studies of board and committee composition and functioning, of staff organization, of community relationships, of costs and expenditures.

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[2] *Ibid.*, p. 231.

A variety of sources for reliable facts will be utilized: the United States Census; state government reports—labor and industry, education, health, and welfare; special studies made by bureaus of research in colleges and universities and industrial organizations; city, town, and state planning boards and commissions; community planning and financing groups, such as chests and councils; agency records and reports.

Studies or research for use in keeping a community agency's service appropriate and effective should be of a very practical nature. An accumulation of factual information is of little value in itself. Data must be carefully selected, directed to the problems they seek to solve. It must be classified, tabulated, analyzed. Hard, critical thinking must go into the analysis. What does it mean, what can be done about it, are key questions. An appraising, questioning, critical attitude on the part of all board and staff persons is to be encouraged. Analysis of services and of changing needs is a continuous process: it goes on all the time, in all parts of an organization, sometimes formally with outside technical assistance, always informally, using agency resources. It is an indispensable part of the administrative process.

Use of the Evaluation Process

Systematic appraisal has seven distinct purposes and values:

1. Appraisal is essential to ascertain the extent to which the objectives of the agency are being achieved. . . .
2. Critical appraisal is the "royal road" to the improvement of program. . . .
3. Appraisal insures the flexibility essential to the continuous reorientation of program to the changing needs of persons in a changing social setting. . . .
4. Appraisal is an effective stimulus to the growth of the professional and other workers who participate in the evaluation process. . . .
5. Appraisal is essential to a sound basis for interpreting to the community the validity of the agency and its social function. . . .
6. Appraisal . . . is a response to an inescapable sense of social accountability and responsibility on the part of the agency and its professional personnel. . . .

7. Appraisal is an essential means of contributing to the tested knowledge that underlies the practice of [social work]. . . .[3]

Such purposes and values are interrelated. Some of them will be more prominent in the evaluation procedures at certain times than will others. Some of the purposes will be made more specific as certain parts of the agency's work is being evaluated, such as its personnel, or its case work or group work services.

The process called "control systems" in industry involves an evaluation process to a considerable extent. They are "a recent addition to management's kit to enable top executives to coordinate, plan, and review the activities of . . . people," one of the Harvard Business School studies reports.[4] "Most control systems involve a routine procedure for gathering at the working level certain specified information on current operations. This information may be expressed in dollars, time, or physical units. . . . At each stage the information usually is compared with a standard or quota. . . . Control systems prove to be most effective when designed around the needs of all personnel involved."[5]

Setting standards and establishing norms has proved more difficult in social work than in industry. Application of the scientific mind and method to problems of human behavior and relationships has lagged behind other fields. Standards of production can be set in an industry, utilizing control systems mentioned above, by recording the production of numbers of workers and the conditions under which they produce. Even in industry and business, the human relations problems have been found to be less subject to the same kind of standards setting.

Progress has been made in recent years, however, in establishing bases and techniques for appraisal. Statistical data has proved useful for quantitative measuring, and for suggesting, if not establishing, qualitative judgments. Process records, rating scales for leaders and for groups, and certain validated tests begin to provide a basis for more critical judgment.

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[3] Hedley S. Dimock and Harleigh B. Trecker, *The Supervision of Group Work and Recreation* (New York: Association Press, 1948), pp. 217-220.

[4] Learned, Ulrich, and Booz, *Executive Action* (Boston: Graduate School of Business Administration, Harvard University, 1950), p. 121. By permission.

[5] *Ibid.*, pp. 121, 125. By permission.

A scale has been developed by J. McV. Hunt and Associates at the Institute of Welfare Research of the Community Service Society of New York, for measuring the movement, either progressive or deteriorative, in the situations of people receiving case work services.[6] The judgments of case workers of varied experience and training were secured on the effectiveness of the case work in a series of cases. The criteria, based on agreement among the case workers who did the evaluation, were (1) changes in adaptive ability or efficiency, (2) changes in disabling habits and conditions, (3) changes in attitude or understanding as evidenced from the client's verbalizations; and (4) changes in the environmental situation. Each item was scored on a scale running from minus two to plus four. It is significant to note that consistency of the evaluations by the various case workers correlated closely with the amount of their training and experience.

A. A. Heckman developed a procedure in the Family Service of St. Paul, using a scale for recording the judgments of workers on their own cases checked against the reactions of other case workers. The scale used had positions for indicating (1) no improvement, (2) partial improvement, (3) definite improvement; (4) no treatment attempted.

A somewhat similar effort was made, under the direction of John Hill, to test the effectiveness of the Big Brother-Little Brother program in Philadelphia. Several scaling instruments were devised: one was used to rate the amount of improvement or deterioration evident in each case record, with a score of 3, 2, or 1 assigned to indicate that all the problems of the little brother were permanently resolved, whether there was moderate permanent improvement, or slight though significant permanent progress. Cases with no progress or short-lived progress were scored 0 and cases in which the problem grew worse were scored –1. Other scales were developed to appraise the extent or deterioration on each case considered due to the Big Brother-

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[6] J. McV. Hunt and Leonard S. Kogan, *Measuring Results in Social Casework: A Manual on Judging Movement* (New York: Family Service Association of America, 1950), 79 pp.; and Hunt and Others, *Testing Results in Social Casework: A Field-Test of the Movement Scale* (New York: Family Service Association of America, 1950), 64 pp.

Little Brother program and on the relative amount of effort by the Big Brother and the staff worker. As measured by the scaling instruments, the program made a very good showing, Mr. Hill reported. The source of referral seemed to be a significant factor: cases referred by other social agencies and those which came as direct applicants showed proportionately three times more successful cases than those referred by the courts and twice as many as those referred by the schools. The reliability of the scales was established, to some extent, by the close agreement found among the scores of the panel of judges used, but their validity (the degree to which they actually measure what they purport to measure) has not yet been established, Mr. Hill cautioned. Further similar efforts may yield valuable results for administrative and social planning purposes.

A Group Evaluation Chart has been developed for experimental purposes by Saul Bernstein based on thirteen criteria: (1) attendance, (2) group organization, (3) group standards, (4) wider horizons, (5) social responsibility, to each other, to agency, to community, (6) enriched interests, (7) handling conflicts, (8) leadership and participation, (9) co-operative planning, (10) group thinking, (11) group loyalty and morale, (12) acceptance of differences, (13) decreasing need of leader.

An Individual Evaluation Chart, based on twelve factors, and a Group Member's Contribution Chart, have also been devised.[7] Copies of these charts will be found in the Appendix. Further experimental work identifying variables which would serve to test group movement has been undertaken by an interdepartmental group of social scientists at Boston University, possibly leading to a carefully planned research project.

Identification of fifteen "group dimensions" has been made by John K. Hemphill for a study of "Situational Factors in Leadership."[8] The fifteen factors or group dimensions were these: size of the group, viscidity (togetherness), homogeneity, flexibility, permeability (membership barriers), polarization

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[7] Saul Bernstein, *Charting Group Progress* (New York: Association Press, 1949, 24 pp.). Also in Dorothea F. Sullivan, Ed., *Readings in Group Work* (New York: Association Press, 1953), pp. 46-71.

[8] John K. Hemphill, *Situational Factors in Leadership* (Columbus, Ohio: Bureau of Educational Research, Ohio State University, 1949), pp. 31-33.

(singleness of purpose), stability, intimacy, autonomy, control, position, potency (satisfaction of individual needs), hedonic tone (feeling of satisfaction), participation, dependence. These group dimensions, and their use in the leadership study, suggest the possibility of further improved measurement techniques.

Such criteria and procedures for examining the case work and group work services in agencies will be found useful in appraising services.[9] Agency executives and other staff members can well familiarize themselves with such appraisal experiments. They might well join in testing them further, and in helping to develop and validate additional needed criteria and methods of evaluating services.

Many of the national agencies provide certain basic criteria for their local affiliates in the requirements they have established for membership in the national organization: for example, the Child Welfare League of America, the Family Service Association of America, the National Jewish Welfare Board, the National Council of YMCA's, the Boy Scouts, Girl Scouts, Campfire Girls, and others. Documents like *We Believe—A Tentative Statement of Desirable Standards for Settlements and Neghborhood Centers,* published by the National Federation of Settlements and Neighborhood Centers, *Organization of the Jewish Community Center,* published by the National Jewish Welfare Board, *Guide to Board Organization and Administrative Problems*, published by the Child Welfare League, and similar formulations from other national agencies, outline desirable standards for agencies.

Some national agencies have developed plans for over-all self-appraisal of local agencies. The Family Service Association of America provides an *Outline of Self-Evaluation for Private Agencies.* The *Self-Appraisal Plan for YMCA's* provides a means of comparing facts and judgments about ten characteristics—membership, board of directors, volunteer services, program, physical facilities, financial policies, community relationships, public relations, Association relationships, personnel—against the experience of two hundred YMCA's, selected on a sampling basis. Scores were translated to profiles and comparisons made. (See the Appendix for illustrative profiles.) Some national agencies also provide appraisal plans for aspects of program, such as physical education, informal adult program, boys' work, camping.

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[9] For other formulations, see "Criteria for Defining Program and Emphasis in the Family Agency," by Frances H. Scherz, *Social Casework,* March, 1951, pp. 107-114, and "Suggested Criteria for Evaluation of Program in an Agency," in *The Supervision of Group Work and Recreation,* by H. S. Dimock and H. B. Trecker, pp. 234-235.

The importance of evaluative attitudes and plans has been stated by Kurt Lewin: "If we cannot judge whether an action has led forward or backward, if we have no criteria for evaluating the relation between effort and achievement, there is nothing to prevent us from making the wrong conclusions and to encourage the wrong work habits. Realistic fact finding and evaluation is a prerequisite for any learning."[10]

Community surveys, conducted by a team of visiting consultants in co-operation with local agencies, have provided a useful means of evaluating services in many cities. Although reliable norms are as yet lacking for many types of services, the process has stimulated self-examination by agencies.

Co-operative studies are proving valuable in some communities to establish norms and improve practices. An example of this is the study of staff nurse activities in twelve Boston hospitals, done under the auspices of the Nursing Council of the United Community Services of Metropolitan Boston. One hundred staff nurses checked a list of over 350 various activities it was assumed staff nurses perform, reporting the frequency of performance—regularly, occasionally, or rarely. All the activities listed were reported as performed by some staff nurses, though some were reported as "rarely" done. Each staff nurse also checked each activity in terms of whether she thought someone else could do it. Ten nursing executives also checked the list of nursing activities, indicating whether they thought someone else should perform the service. The results of the scoring showed that a large proportion of the respondents believed that many of the activities could and should be performed by someone other than staff nurses. The significance of such a finding for possible reassignment of duties, and consequent freeing of staff nurses for essential work, is evident. Executives need such data to guide the work of staff members. Similar studies, for other types of community social services, have great possibilities.

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[10] Kurt Lewin, "Frontiers in Group Dynamics," *Human Relations,* Vol. I, No. 2, 1947, p. 150.

Another important experiment, of a different type, is the Time-Cost Study of the Family Service of Philadelphia. The major principles of cost accounting were followed, with certain modifications. It was necessary to work out an agreement between cost and general accounts and to divide the operations of the organization into the parts for which the costs were to be computed. Eight such "cost centers" were set up: for case work services, group education (including family life education), professional education or student training, community activities and planning, staff education and development, research, public relations, and general administration. Costs were allocated to these types of activities, or cost centers. A time study also proved necessary, as some employees divided their time among different activities or cost centers, and a proper proportion of expense had to be assigned to each.

Some of the findings may be noted from the following summary, utilizing figures from two tables in the report:[11]

	Percentage Distribution of Agency Staff Time	*Distribution of $100 Among Agency Services*
Case work	56.4%	53.32
Group education	2.9%	3.47
Professional education	2.1%	3.22
Community activities and planning	3.3%	3.65
Staff education	8.8%	9.93
Research	6.4%	6.50
Public relations	3.7%	4.89
General administration	16.4%	15.02
Total	100.0%	$100.00

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[11] John J. Hill and Ralph Ormsby, "The Philadelphia Time-Cost Study," *The Social Welfare Forum,* 1953, pp. 215, 216.

As would be expected, the percentage of time given to various functions by different staff members varied considerably: case workers spent 81.7 per cent of their time on case work, while supervisors spent 49.6 per cent on case work, 13.7 per cent on staff education, and 14.4 per cent on general administration. The administrative staff spent the largest proportion of the time on general administration and more than other staff members on other collateral services, such as public relations. The costs for various services quite closely paralleled the time spent on them.

Such facts, and the others revealed in the study, begin to provide a more adequate basis than has been available for knowing how agency resources of time and funds can be most productively distributed. More such facts are needed; but, based on this study, the Family Service of Philadelphia has been able to replan the time used for various functions. The time spent in all types of agency meetings—professional staff meetings, district staff meetings, meetings of supervisors and department heads, and district group psychiatric consultations—has been restudied toward the end that more worker time might be released for direct work with clients. Less time is now used for recording data by case workers. Possibly the greatest effect of this particular time-cost study, it was reported, was its psychological impact. It proved to be a new way of examining all activities. It related time spent on various services to financial costs.

New administrative norms or standards of operation may eventually emerge, if such data between agencies of reasonable similarity can be secured. Executive responsibilities for effective service can be met more adequately when such facts, about all types of community services, are more generally available, and when such procedures are put more widely into effect.

Executive Responsibility

It is a clear executive responsibility, in keeping services effective: (1) to see that accurate records of the agency's service are kept and utilized; (2) to keep community facts, pertinent to the agency's function and services, available and used as the basis for strengthening and reorienting the agency's services; (3) to keep the planning and reviewing processes vital and inclusive; (4) to maintain throughout the organization a continuous attitude of appraisal, and to stimulate and guide both ongoing and special evaluative procedures, well-timed, appropriate in focus and method.

The accomplishment of administrative objectives, according to Simon, can be "measured in terms of *adequacy* (the degree to which its goals have been reached) or of *efficiency* (the degree to which the goals have been reached relative to the available resources)."[12] Both adequacy of services, in relation to need, and efficiency of services, in relation to resources, must be the measures agency executives and board use.

Keeping the services effective is a responsibility which will be met in a number of different ways. Everything that is done anywhere in the organization is likely to affect the volume and quality of service. All the resources must be brought to bear on the problem: qualified staff personnel, active and intelligent board and committee services, adequate funds, appropriate facilities (buildings and other equipment), sound community relationships.

Effective services, directly related to community need, are the purpose for which agencies exist. The administration process, guided by responsible executive leadership, is the means by which services are provided, adequately and efficiently.

SUGGESTIONS FOR FURTHER READING

Bernstein, Saul, *Charting Group Progress.*

Dimock, H. S., and Trecker, H. B., "Evaluation of Program," *The Supervision of Group Work and Recreation,* pp. 217-249.

Hill, John G. and Ormsby, Ralph, "The Philadelphia Time-Cost Study," *The Social Welfare Forum,* 1953 Proceedings, National Conference of Social Work, pp. 205-226.

Hunt, J. McV., and Kogan, Leonard S., *Measuring Results in Social Casework: A Manual on Judging Movement.*

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[12] Simon, *op. cit.,* p. 212.

SCHWARTZ, EDWARD E., "Social Work Research," *Social Work Year Book, 1951,* pp. 500-512.

SHERZ, FRANCES M., "Criteria for Defining Program and Emphasis in the Family Agency," *Social Casework,* March, 1951, pp. 107-114.

CHAPTER TEN

Securing and Handling Finances

THE WAY IN WHICH funds are secured, managed, and recorded represents one of the most important aspects of social agency administration. The basic purpose of a social agency is to provide needed services in an effective, efficient manner. Financial administration, however, provides one of the more objective, factual ways to appraise the work of any organization. It is obviously only one of several different ways in which an agency's work should be appraised; its importance may be weighted too heavily. But it is one of the valid ways in which community service agencies, and their executive leadership, are judged.

Competent business administration engenders confidence and respect. Business men require good management in their own businesses. As directors of social agencies, they respect sound business judgment and a sense of accountability. When they observe it, in the way executives carry their responsibilities, they are in a position to commend the services and the management of their organizations to the community. Tead refers to finances as "that pervasive factor which conditions all corporate activity. . . ." He says, "It is as essential to live within a budget in nonprofit agencies as it is to strive to make a profit in others."[1] The responsibility for sound business management is shared by the board and the executive: the board, as it makes general policies, authorizes budgets, and oversees services and expenditures; and the executive, as he helps to make plans involving services and funds and oversees the work of other staff members.

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[1] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, Inc., 1951), p. 112.

Sound financial administration is one of the areas in which all aspects of the administrative process, discussed in Part III, operate. It involves planning, directing, and executing. It provides means by which wide and responsible participation can be achieved. It is a critical area of decision making. The dominant concepts of authority will be clearly revealed in relation to the use and control of funds.

The purpose of this chapter is to discuss the elements of sound financial policy and practice which should guide social agencies. It is not intended as a detailed guide. Social agencies differ greatly in size and in method of operation. They vary in the type and range of services they provide: some provide one type of service to a rather limited clientele; others provide a variety of services requiring many departments with separate budgets; some operate through district offices or neighborhood branches; some spend ten or twenty thousand dollars a year; others have budgets involving hundreds of thousands of dollars and, in some cases, millions of dollars. Financial practices will necessarily differ also. Any brief discussion, such as this, can deal only with fundamental practices. It needs supplementation by the more detailed manuals available from most national agency headquarters and local agency offices.

Essentials of Sound Fiscal Administration

Sound financial administration will ordinarily include the following essential elements, whether the agency is small, medium-sized, or large, and whether it operates through one unit with a single budget or through individual units with their separate budgets.

A sound organization plan. The foundation of sound financial policies and procedures is an appropriate and practical organizational structure. The basis of authority and responsibility for authorizing and making expenditures must be clearly defined. Descriptions of departments, divisions and positions, with lines of accountability outlined, should be prepared. Competent and trustworthy personnel, with duties defined and understood, must be related to all aspects of financial administration.

Well-planned financial policy. The budget policy serves as a basis for planning current operations, and for working toward longer-term goals. A wage and salary schedule, with ranges and steps for each type of position, and plans for periodic review and revision, is necessary. Sources and methods of securing income and for controlling expenditures should be outlined. Well-considered plans for needed development of services and for additions to buildings and equipment also underlie financial administration.

Efficient methods of accounting and control. Financial records which accurately record the agency's financial operations and status are the basis of good fiscal administration. Records of expenditures and income for current operations, and records of capital funds, provide the necessary basis for planning, control, and appraisal.

The Budgetary Process

The budgetary process is a fundamental element in the planning process. The services an agency provides, the program it conducts, are based on the budget. The budget is also a basic means of control—of the program as well as of funds. It has been called "one of the principal tools of financial administration."[2]

WHAT A BUDGET IS

A budget is a financial plan for an agency's services for a specific period.

As a "program of work expressed in dollars," budget planning and program planning are interrelated. The services which are deemed to be needed—the desired program—are outlined. They are then translated in estimates of costs. When all possible income has been determined, an adjustment can be worked out between desired services and available funds. Financial planning must not precede, nor completely dominate, planning of services. "We have placed too much emphasis on dollars and far too little attention on activities and work to be done. If budgetary programs are to be something more than carefully predicted expense accounts, expenditures must be related to objectives."[3] At the same time, program planning must be realistic. It must influence, and be influenced by, financial planning.

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[2] Stephen Story, "The Place of the Budget in Fiscal Planning and as a Tool of Administrative Management," quoted in Albert Lepawsky, *Administration: The Art and Science of Organization and Management* (New York: Alfred A. Knopf, 1949), p. 462.

As Simon has written, "Budgetary procedures are the most important means of translating questions of adequacy into questions of efficiency."[4]

HOW TO DEVELOP A BUDGET

The methods used to develop a budget, or a combination of integrated budgets in larger agencies, will vary with the type and size of agency and its services. Certain basic procedures will ordinarily, however, be utilized in most agencies:

The Finance Committee. Budget planning, with its interrelationship with program planning, is a joint responsibility of lay and professional people. A finance committee, or in smaller agencies the executive committee, acting under general board policies and with considerable knowledge of available financial resources, develops and oversees, on behalf of the board, the financial plan of the agency. It reviews budget requests developed by other committees and by staff members. It considers and recommends necessary changes, and brings a practicable budget to the board for its review and for adoption. It makes periodic reviews of expenditures in relation to budget and reports the financial status to the board.

Distribution of responsibility. Committees and staff members related to all parts of the agency's services should be involved in budget planning. Persons closest to services are most likely to know what is needed; their judgment should be sought. They should also be kept informed about needs in other parts of the organization and of over-all financial problems and resources. Staff participation in financial planning is a basis for effective services and for staff morale. "The executive who recognizes the co-ordinating function of his position will not evolve the budget by himself, carry it through the necessary institutional and community channels, and then confront the staff with the limitation generally inherent in institutional financing," Leon Richman has written. "He will accept the principle that formulation of policy must flow out of staff experience. He will appreciate the fact that a budget reflects sound planning only if the staff, through participation, can bring their experience to bear on the evaluation of the needs of the service to expand or contract; to be modified to fill gaps observed in the program; or to meet new conditions."[5]

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[3] "It's Always Budget Time," *Public Management,* October, 1940, Vol. XXII, p. 289.

[4] Herbert A. Simon, *Administrative Behavior* (New York: The Macmillan Company, 1948), p. 214.

Staff members and departmental committees, like the agency executive and board, need to recognize inevitable limitation of funds. For example, the community chest must look at the total range of services and the financial needs of many agencies. All the agencies serve the community, and some needs must inevitably be given priority. Responsibility for preparing budgets may be distributed, but a co-operative attitude, on the part of all participants, is necessary.

The budget schedule. Most budgets have to be prepared, at least in tentative form, a considerable time before they are put in operation. If the fiscal year is the calendar year, budget preparations usually must begin in the summer months, if they are to be ready for presentation to community chest budget committees or be ready for individual agency finance campaigns. Begin early, is a sound rule. Financial plans should be based on actual experience and on realistic hopes for improving and expanding services. Six months' actual figures for the current year and estimated expenditures for the second six-month period, can ordinarily be used. If responsibility for developing the budget is to be distributed throughout the organization, considerable time must be provided. The conferring process is one of the essential factors in co-operative planning, even though final responsibility is necessarily centralized. Later, when income and other operating factors can be more definitely known, budgets can be readjusted as necessary.

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[5] Leon H. Richman, "Sound Administration: The Key That Unlocks," *Creative Group Living in a Children's Institution,* Susanne Schulze, Ed. (New York: Association Press, 1951), p. 27.

Realism in budgeting. Costs and other expenditures can well be estimated somewhat high, particularly in a period of increasing cost levels. It is advisable, on the other hand, to estimate income rather conservatively. Income goals should, of course, be high enough to provide necessary incentives to staff members and to divisional and departmental committees. It is desirable, too, to secure all possible income, especially items like special grants from foundations, as early as possible in the fiscal year. Agencies can well keep some "balancing items" in their budgets—that is, expenditures which, though needed, can be deferred until late in the year, when income levels have been quite definitely determined. Program needs and plans, it has already been said, should influence financial plans. Ideally, financial resources should be made adequate to meet needs. In the last analysis, however, an agency is responsible for providing only those services which it can finance.

WHAT A BUDGET INCLUDES

The items in a budget will ordinarily parallel the chart of accounts used in the agency accounting system. The amount of detail will vary in different agencies. The budget must make provision for adequate financing of the different parts of the services. Because of the importance of qualified personnel in social welfare services, a considerable proportion of the agency's funds will be set aside for salaries and wages and for related staff expenses, such as social security or retirement payments. No general norms have yet been developed, but in agencies which operate building facilities, the proportion of total expenditures used for salaries and wages and related expenses will ordinarily be approximately fifty per cent. In most agencies which do not operate facilities, it will be as much as seventy-five per cent. Program expenses, not financed directly by members or clients, must also be adequate if services are to be effective.

Many agencies operate buildings: maintenance costs, heat, light, water, telephone service, building supplies, insurance are all necessary, and the budget must provide for them as adequately as possible.

Income should be set out in sufficient detail to assure sound planning and control, with fees from members or clients, endowment, business services, and contributions clearly shown.

SUGGESTIONS FOR PRESENTING BUDGETS

Budgets usually must be presented to different groups: committees within the agency and the board itself, community chest budget review committees, trustees of foundations, specially interested individuals and the general public itself. After sound planning has been done, effective means of presentation can be used. The following suggestions may prove helpful, particularly in making presentations to community chest and foundation groups:

Develop an informed and influential presenting group. The group of directors who appear with the executive, before chest and foundation groups, must of course be thoroughly familiar with the facts. Presentations should usually be made primarily by laymen. If they have been involved in the budget preparation and have kept in touch with problems throughout the year and with ways in which the services should be strengthened and extended, they will be adequately informed.

"Highlight" the facts of the agency's past year's services and its financial facts. Summarize differences—changes—from the previous year. Occasionally, present shifts over a period of years, pointing out desirable and undesirable trends and developments. Make comparisons between types of income and expenses. Use graphic methods—charts, graphs, pictures—when feasible.

Avoid arguments with reviewing committees. Questions about the agency's operations are necessary if reviewing committees are to have necessary facts on which to base their recommendations. Some differences in judgment are inevitable. The fundamental concern of both the agency representatives and the reviewing group is, or should be, effective services for the community.

Depict the needs of people. What people in the community need, rather than what the agency needs, should be the primary emphasis. If agency plans are sound, the two are identical. Agency representatives need not be apologetic: the funds which are available for distribution were given to provide services in the community; they were given to finance the services provided by the agencies. Every effort should also be made to avoid "overselling" services. Few agency services adequately meet the needs of people; but most services help people to solve difficult problems. A focus on what people need, and a modest but confident appraisal of what the agency is doing, and a description of its plans for contributing toward those needs, is a sound basis for seeking support.

Sources of Income

Most social agencies are operated with funds secured from five different sources: (1) tax funds, (2) fees from members and clients, (3) business features, such as residences, food services, valet services, other club features, (4) endowment, (5) contributions, from community chests, foundations or individuals. The proportion received from each source varies among agencies: some rely primarily on contributions; others receive a considerable proportion of the operating funds from members, from business features, and from endowment.

Tax funds. Tax funds now represent the major single source of income for social work. With few exceptions, the total cost of public agency services is met from taxes. Local, state, and federal sources are involved. Part of the income of some voluntary agencies comes from tax funds—in hospitals and their social services, clinics, foster home programs, day care centers, and others.

Fees from members and clients. The amount of income received in fees from members and clients of voluntary agencies varies, not only by size of agency, but according to agency policy. Increasingly, as operating costs have risen, agencies have been establishing fees more on the basis of the cost of the services and on the ability of people to pay for them. Some of the leisure-time services, such as YMCA's and YWCA's and some neighborhood centers, have for years produced a considerable part of their needed income from fees. In recent years, case work agencies have begun to institute fees. Some executives believe that even token fees help to develop a sense of participation and result in more regular use of services. The principle of fees which are set on the basis of cost, as nearly as these can be determined without expensive cost accounting, and scaled for different income levels of individuals and groups, seems sound. Subsidy funds should be used, in general, to help services for persons from low-income families and areas. Services for boys and girls and older youth usually require some subsidy, particularly where a cross section of youth from different socio-economic groups participates, if differences are not to be unduly emphasized.

Agency fee policies and practices now vary quite definitely, not only among agencies, which provide different types of services, but among agencies which provide similar services and those which serve a similar clientele. The greatest similarity probably exists among hospitals and other health services. Some case work agencies have relatively recently used fees; many such agencies have no fees. The practice of fees is likely to extend. Great differences exist among the leisure-time agencies. Studies of fee policies and practices are being undertaken in many cities, particularly by community chests and other social welfare planning bodies. Greater similarity of policy and practice is not only likely to produce needed income to meet increased costs of operation, but is likely to eliminate a current source of irritation among agencies and a possible cause of competition.

The fees charged should be reviewed and adjusted periodically to make sure that they reflect current costs of service, and to have them produce maximum income and, at the same time, not unduly restrict agency service.

Business features. Business features—residences, food services, club features—are operated by voluntary community service organizations primarily as a service to members, rather than as a source of income. They should be operated, however, on a businesslike basis. They should be self-sustaining services; subsidy for them is difficult to justify. In most cases, such services can make modest earnings. There is no reason for them to be priced under similar business enterprises in the community. Their income can be used to provide necessary replacements of equipment and to help subsidize free or partly free services. They usually represent an investment of agency and community funds and can be expected to provide some return on the investment. They should not be operated as competition to other businesses in the community: they are a service to members or constituency; they are also a supplement to agency program. They can be operated, on such a basis, so that they help stabilize the organization's service to the community.

Endowment income. Increased costs of operation and higher returns on invested funds have brought renewed interest in endowment funds, both in voluntary social agencies and in educational institutions. The "leveling out" in contribution income in many communities and the disappearance of large individual fortunes have also helped to create this new interest. Endowments provide an admirable method for people to continue their interest and support for years after their death. Community trusts, which are really composite endowment funds for which the trustees are given considerable discretion for the allocation of income, have increased in some cities. Individual agencies, however, need endowment funds which produce income that can be allocated as needs change.

Contribution income. Most voluntary social agencies rely on contributions for a considerable proportion of each year's operating income. Case work agencies, settlements, and boys' and girls' clubs usually depend on contributions for most of their operating expenses. Community chests or united funds now operate in approximately fifteen hundred different communities. They conduct campaigns to finance the services of all member agencies. Their budgeting and allocating divisions are usually closely related to their planning and co-ordinating divisions, which are in many cities organized as separate, but closely related, community councils or councils of social agencies. General financial policies are adopted under which funds are allocated to agencies, and reports are made.

Agencies vary a great deal in their dependence on contribution income. Some small agencies, particularly family service agencies and some child care agencies, receive most of their operating income from community chests. Many other agencies, particularly those which operate a variety of services and which emphasize member-income, receive twenty per cent or more from this source.

Some social agencies receive special grants from foundations and trusts to finance part of their services, usually their special projects. Such sources should not be neglected.

Supplementary contribution income has proved necessary in many cities. Many community chests have in recent years been unable to raise sufficient funds to meet rising costs of operation. Adjustment of services to new needs has been seriously handicapped. Agencies have discovered, too, that they need to maintain direct contact with financial sources in the community. New and revised forms of sustaining or co-operating memberships have been developed to meet these needs. Agencies which accept membership in a community chest or united fund must also accept the obligations of participation; they clearly place limitations on their freedom to seek funds. But greater flexibility in chest policies is needed. Progressively weak agencies do not add strength to federations. Teamwork is necessary; co-operative ventures require loyal support. More plans, under which member agencies can seek support from groups and individuals who are particularly interested in a section of a city or in a type of service, can be developed without undermining the strength of united appeals for funds.

An Efficient Accounting System for Planning and Controlling Expenditures

The budget of an organization forecasts income and expenditures. It provides the official board authorization for making expenditures. It also defines the limitations. The budget is one part of the financial structure of an agency. It must be supplemented by other procedures and practices, if sound financial administration is to be effected.

Accurate and adequate methods for recording all funds and accounts are essential. Accounting practices should reflect high integrity; administration of community and agency funds is a trustee obligation and a public trust. All funds must be used or held for the purposes for which they are provided and accurately recorded. Financial obligations and commitments should be met promptly and fully.

Financial records and reports should reveal, accurately and adequately, the exact financial status of the agency. Accounting systems can be kept relatively simple in small agencies; they should, however, always reflect the facts which are needed for sound planning and control. Many of the national agencies provide thorough information about accounting practices, with recommended records, forms, and procedures.[6] Community chests also standardize the monthly and annual reports they require; financial records to provide financial facts in the desirable categories are needed. Any necessary advice to establish a satisfactory accounting system is readily available in most communities through the business contacts of board members.

An agency executive needs to be clear about what facts are needed; he is responsible for seeing that a satisfactory system is established and maintained. This chapter aims to help him understand the essential elements and practices, from his point of view; it does not presume to outline a complete system of records and accounting practices.

A CHART OF ACCOUNTS

An accounting system, and the financial reports which come from it, depend upon a "chart of accounts," which defines and describes each type of expense or income for which a separate record is kept, such as salaries, office supplies, travel, fuel. Larger classifications of expense or income are sometimes subdivided. Just what the classifications are to be, how detailed they are, will depend upon the size and type of agency. The classification of accounts furnishes the basis for the budget items. If departmental budgets are used, the account items, and their numbers, should be similar, so that all the expense or income of one type can be known, regardless of which department is involved.

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[6] See *Organization of the Jewish Community Center*, National Jewish Welfare Board, pp. 23-27; *Guide to Board Organization and Administrative Problems*, Child Welfare League of America, Inc.; *Association Accounting*, National Board, YMCA (Association Press).

BASIC RECORDS

Three basic sets of financial records are maintained in any well-managed organization, regardless of its size:

Cash Book. All cash receipts are recorded in the Cash Book, on the left-hand pages. Cash receipts include all income received—cash, checks, and so on—by date and source, and distributed by budget items. All cash income should be recorded on the day it is received. A Deferred Income Account can be used to record receipts designated for the next fiscal year. Standard printed receipt forms should be issued in duplicate for all cash received.

Cash registers are desirable in all operating units where any considerable number of small cash payments are received. Some cash registers issue the necessary receipts. Cash register readings and receipt numbers should be checked by the central business office. Daily cash reports, with month-to-month summaries, and monthly summaries compared to budget, should be prepared.

The disbursement section of the Cash Book (the right-hand pages) lists, by date, all expenditures made—with the check number, amount, and to whom payable. Expenses should be charged to the month in which bills are rendered. Social agency accounts are usually kept on a cash, rather than on an "accrual" basis. Special funds held for clubs or special groups, or for special purposes, should be carefully recorded.

Invoices, after verification with purchase orders and after approval by the proper staff members, should be paid by prenumbered voucher checks, issued in duplicate or triplicate as needed for record. Such voucher checks give the necessary detail for recording in the Cash Book. Voucher checks are filed numerically, with a cross-alphabetical file for ready reference.

It is ordinarily desirable, for adequate control, to have all checks signed by two persons, usually the treasurer and the executive. Other signatures may be authorized by the board of directors when the volume of business requires them.

Journal. The Journal records any transaction which is not recorded as an income or disbursement item in the Cash Book. (In small organizations, the Cash Book and Journal are often combined. In an organization with a number of departments or branches, all accounting records should be consolidated in one headquarters office. Records of receipts and any other necessary operating records can be kept in the branches.)

Ledger. The Ledger records and summarizes all receipts and disbursements, or Journal entries, by budget items. In some organizations, it is wise to keep a distribution ledger for recording monthly income and expense by departments and account numbers, as well as the general ledger for recording the operating control accounts and all assets and liabilities of the organization.

SUPPLEMENTARY RECORDS

In large organizations, a number of supplementary records may be kept to provide other necessary detail. Some of these records are books; some are ledger cards designed for special purposes: membership cards, residence records, and the like. Some organizations find a Purchase Register useful. When one is used, it records in detail all purchases made and the distribution to the proper budget items. The Cash Book then records the amount of the check drawn for the total of all bills from one particular company, previously recorded in the Purchase Register.

FINANCIAL REPORTS

Monthly financial reports should be prepared, showing the actual income and expense by major accounts of each department or branch, for the current month and year to date, compared with budget estimates. Such monthly reports provide a basis for noting any serious deviations from authorizations for expenditures or income goals and for necessary supervisory conferences with other executives. Achieving monthly goals and maintaining monthly control of expenditures, are the basis for sound year-round financial administration. Monthly financial reports should be reviewed by the finance or executive committee and the status reported to the board. Annual financial reports or summaries should be issued for general information. The annual reports also furnish a basis for planning subsequent year's operations.

Other Important Business Practices

Bonding. All employees who carry responsibility for disbursements, or who handle cash, should be bonded by the organization. Surety bonds, under which an insurance company assumes responsibility for any losses, provides protection for the organization against theft or fraud. No employee need object to being covered by such a bond; it is considered good business practice.

Insurance. Adequate insurance should be carried on buildings and equipment, as well as Workmen's Compensation insurance, public liability, and other necessary forms of protection for the organization.

Purchasing. Requisitions should be used for all except small petty cash purchases. Wide dispersal of purchasing functions should be avoided. In large organizations, centralized purchasing for items used in large quantities will often result in economies. Whether the cost of a centralized service is justified depends upon volume, type of purchases, and market conditions. Checking deliveries is sound practice; it can be delegated to a responsible person.

Inventories. Simple inventories, made by a physical check of supplies on hand, can be readily maintained. In larger organizations, it can be computed from a perpetual inventory record.

Record and inspection of physical assets. A control record of all physical assets, including furniture and other equipment and real estate, should be maintained. Maintenance and renewal of furniture and fixtures is a proper charge against current income; provision for replacement can be made through reserve charges. Where replacement reserves are not set up, a long-term plan of replacements, with different parts included in the current operating budget each year, can be developed. Periodic inspections of physical plant are desirable.

Annual audit. An annual audit by an outside firm of public accountants is considered sound practice.

Periodic review of accounting procedures and other business practices. A representative of the auditing firm or of the bank with which the organization does its business can well be invited periodically to review the accounting and other business practices. Useful suggestions are often thus secured; the practice also develops confidence in the agency's practices.

Business personnel. Competent, responsible business personnel must obviously be secured. They need to be an integral part of the organization, informed about and working for the basic purposes of the agency. Competency in business administration equal to the competency of other staff members in the service functions of the agency is necessary.

Capital Funds

The stability of an organization depends to a considerable degree upon its net capital assets—buildings, equipment, properties, reserve funds, endowment funds, equities in trusts and life estates, and other capital reserve funds.

Buildings and equipment used for agency services are usually subject to heavy usage and depletion. Adequate maintenance and repair expenditures in current operating budgets are essential to good administration. Depreciation reserves are not ordinarily set up in community service organizations, as they are in business and industry, particularly for those sections of a building which do not earn an investment return. In residence and food service investments, it is considered good practice to provide for depreciation reserves as a part of their operating budgets.

Community service organizations can well review their capital fund needs periodically and consider means for dealing with the problem over a period of years. This consideration will include a study of (a) funds needed for restoring and remodeling buildings and equipment, (b) maintenance and depreciation charges and reserve funds, (c) new building funds, (d) endowment funds.

Planning for expansion of facilities will involve a careful study of what the community needs. It will involve consultation and clearance with social planning bodies and community chests. It will take the plans of other community organizations into account.

Securing building funds. Four basic questions underlie any proposal to secure funds for a new or improved building project: (1) Is it definitely needed? What new or improved services will be provided? (2) What facilities will the building contain? Is it well planned? (3) What will the building and equipment cost? (4) How will the operating expenses be met?

The planning of facilities involves the skilled services of persons who know the services, of architects, engineers, and accountants. Space budgets and functional arrangements of space must be studied. Estimates of costs should be made, including site, building, furnishings and equipment, and an allowance for unanticipated expense. Tentative operating estimates can be made, based on unit costs of heat, light, maintenance, and for staff and other operating expenses. Sketches and pictures can be utilized to explain the project.

The planning and sponsoring of a building campaign is the responsibility of the board of directors of an organization. Detailed plans are usually developed by special committees.

After the general plan for the project has been developed and necessary clearances made, the detailed plan for financing should be made. Advance or special gifts—"pattern gifts"—are an important part of any capital fund effort. Ordinarily, 65 to 70 per cent of the total amount needed must be secured in gifts of $500 or more, according to campaign experience. Board and staff members, and other close friends of the organization, must set the level of gifts.

The problem of corporation gifts must be given special attention. Corporations now control a large proportion of the country's wealth. Policies regarding corporate giving vary in different companies. More and more, financial support of charitable, educational, and other community service organizations is becoming regarded as a definite corporation responsibility.

Capital campaigns also need as broad a base as possible. Income has become more widely distributed. Most building campaigns cannot aim for house-to-house coverage, but solicitation of a large number of interested individuals and families who can make moderate gifts broadens the community interest in the new project and provides sizeable funds.

Planning and conducting a large building campaign requires skilled leadership. Developing sound plans, creating and "energizing" an organization, developing adequate interpretive materials and publicity involve specialized experience. A number of national agencies provide such service; local, skilled campaign leadership can sometimes be secured; a number of reputable campaign organizations provide such leadership and counsel for a set fee.

Building costs are high and funds have become difficult to secure. But the vitality of an organization depends upon its ability to adjust and improve its services, to meet new needs. Conviction about the need for improved and expanded services, combined with wise planning and technical skill, can uncover needed resources. It is a test of executive leadership.

Endowment funds. Endowment funds are an important source of operating funds for many community service organizations. They help to stabilize the work.

The basis for securing endowment funds is a recognition of the importance of the organization's work to the community and confidence in its leadership. Interpretive folders can well be prepared, emphasizing the importance of the services, the reasons for their continuance for years on ahead, the capacity of the organization to adjust to changing needs, the assurance of wise administration of funds. An endowment funds committee can be organized to stimulate and guide endowment fund promotion. The interest of lawyers who do probate work and officers of banks and trust companies can be enlisted, by personal contact and through personally written letters with appropriate enclosures. Special mailings can be made to potential givers. "Living memorials"—gifts to create memorial funds during the lifetime of the giver—have been stimulated by some agencies. Bequests usually form a large proportion of gifts to endowment funds. Life insurance policies have been used to some degree.

The conditions under which gifts are made should be carefully observed. It is sound practice to encourage considerable latitude by a board of directors, so that changing conditions over the years may be met.

The investment and management of endowment funds is a specialized responsibility for which the services of a bank or trust company are sometimes utilized. Some organizations have their own investment committee, composed of highly competent and responsible persons. A diversity of investment is usually desirable, but the basic investment policy should be determined by the board and the emphasis placed on safety of principal and on rate of return on investments. A "middle ground" policy, combining safety and reasonable return, is followed by many organizations. The handling of endowment funds is a fiduciary trust and a matter of fundamental financial concern to a social agency, and must be kept in able and trustworthy hands.

Executive Responsibility

Sound financial administration is a central executive responsibility. It is one of the key tests of competent management. It requires more than sound financial procedures. It requires foresight and skill in long-term planning. It involves objective appraisal of services and needs. It involves persistence in securing accountability. It requires leadership in helping boards of directors to undertake courageous plans. It requires skill in working with committees in developing sound plans. It is an area which is critical in decision making. It involves problems in which participation is essential. It requires a sense of dedication—of personal and professional commitment to help meet selected social needs.

SUGGESTIONS FOR FURTHER READING

Hathaway, F. A., "Securing and Controlling Adequate Funds for Current and Capital Financing," *The Executive Role in YMCA Administration,* Gren. O. Pierrell, Ed., pp. 249-284.

LEPAWSKY, ALBERT, "Budgeting and Financial Control," *Administration: The Art and Science of Organization and Management,* pp. 460-491.

"Managing the Finances," *Organization of the Jewish Community Center,* pp. 23-47.

STREET, ELWOOD, "Budget Making and Control," pp. 345-361, and "Effective Accounting Methods," *A Handbook for Social Agency Administration,* pp. 326-344.

CHAPTER ELEVEN

Operating Buildings and Other Facilities

ALL COMMUNITY SERVICE ORGANIZATIONS use physical facilities of some kind. Some agencies need only a small office, some need a combination of offices and other service or program spaces. Some organizations own and operate single buildings of moderate size; others have a number of buildings of different sizes, some of which are large structures with a variety of facilities. Some agencies operate camps. Many agencies rent space or otherwise have the use of facilities owned by others. The problem of effective and efficient operation of physical facilities is one which is faced by all social agencies, in varying degrees.

Buildings and other facilities are "tools" with which to provide services. They are means of achieving the organization goals. The services of some agencies require relatively little space—room enough for two persons to talk with privacy, an office large enough for one or two workers. Other agencies need rooms for recreational or therapy groups, for informal educational classes, and other groups; gymnasiums for basketball, volleyball, and other physical activities for large groups; badminton, squash and handball courts; swimming pools; areas for dramatics, musicales, social dances, forums; residence rooms; food-service and maintenance-service areas.

Why Effective Operation Is Necessary

Whether the facilities used are small or large, owned or rented or borrowed, effective operation is necessary for several reasons:

Providing effective services. If the services or program are to move along as needed and as scheduled, facilities must be ready. Clients and members are more likely to maintain interest if the physical facilities are suitable and attractive, are available when needed, and are operating properly.

Developing proper public relations. Unattractive, poorly operated facilities create unfavorable impressions. Broken furniture, worn rugs, dirty floors and walls, inharmonious color schemes, inadequate illumination, poor ventilation are likely to develop a lack of confidence in the quality of services provided and in the leadership of the organization.

Maintaining staff morale. The self-respect of all employees is enhanced by attractive, well-maintained surroundings. Quality and quantity of work done is related to *esprit de corps.*

Operating efficiently and economically. The returns received for the energy and dollars spent depend, to a considerable degree, on the standards of building operation which are maintained. With operating costs high, and contribution and client-member income limited, efficient and economical operation is an executive obligation.

Standards of Good Management

Cleanliness. Floors, windows, walls, and furnishings should be free from dirt and dust.

Sanitation. All conditions that may be hazards to health or that may breed disease must be eliminated.

Orderliness. Furniture and equipment should be arranged properly, and unused equipment and supplies stored neatly.

Safety. An adequate program of safety education and administration will protect the lives of employees, protect organization property, and contribute to a low-cost maintenance program. Fire laws should be rigidly observed. Fire departments and insurance company safety engineers will usually make inspections and help to develop adequate safety measures.

Legal requirements. Laws which apply to agency operation must be adhered to: minimum wage laws, workmen's compensation laws, reports to qualify for tax exemptions, licenses, sanitary regulations, building codes, and many others. Legal requirements vary in different states. Competent legal counsel, usually available from board members, is necessary.

Attractiveness. Pleasing color schemes and arrangements help to develop a sense of "at-homeness." Boys and girls and older youth, as well as adults, respond affirmatively to attractive surroundings.

Efficient operation of equipment. Good equipment should be purchased; good tools encourage good workmanship. Electrical equipment, machines of all kinds should be kept in good working order. Prompt repair, refinishing, and replacement will result in efficiency and economy.

Economy in purchasing, storage, and use of supplies. Skill in purchasing supplies which have stood the test of use, dry storage places, and proper use of supplies are important.

Effective program use. A final test of good operation of buildings and equipment is whether they facilitate sound services and program. The reason that community agencies have buildings and other facilities is to enhance their services for and with individuals and groups.

Organizing for Effective Operation

The following steps will aid in achieving effective operation of buildings and other facilities:

Select able, responsible personnel. In small agencies, an office manager can provide the necessary, detailed supervision, under the direction of the agency executive. In a small-sized building, a competent head janitor can be placed in charge. Larger agencies, which operate large buildings, will need a building superintendent for each one. A combination staff, with a number of skilled workers, may be necessary, if considerable equipment requires technical care. Most of the maintenance personnel will be semiskilled or even unskilled workers. Ability to handle the jobs well is essential.

Define jobs clearly. Each unit of work should have its own well-defined job descriptions. Each worker should be instructed in the work for which he is responsible, the methods and tools he is to use, how often he is to do each part of his work, the time required, and how he is to care for tools and equipment.

Have workers know to whom they are responsible, and hold them responsible for their defined jobs. Supervision of maintenance supervisors is an executive responsibility. They should be helped, as necessary, to become skillful supervisors.

Develop operating manuals. Simply written manuals of good practice will be found useful in many organizations. Instructions about how to perform many tasks, based on experience in other organizations, are often helpful. Personnel policies and practices pertinent to these positions can be summarized. National building management organizations, and some national offices of social agencies, have developed standards of performance for various types of workers, such as the number of square feet janitors can keep clean, or the number of rooms or beds maids can maintain. Necessary variations can be taken into account, but such norms can be helpful in establishing fair and equitable work loads.

Establish satisfactory working conditions. Hours of work, wages, vacations, pay during illness, holidays, pension plans, hospital coverage, restrooms, and other working arrangements underlie retention of competent, loyal service- and maintenance-staff members. Intangible incentives—satisfactory personal relationships among workers, proper recognitions, interest in the organization's purposes—can well be utilized as a means of establishing and maintaining worker morale and worker satisfactions.

Make regular inspections. An effective inspection program is essential. A Building Maintenance Inspection Form can be developed to meet agency and community conditions. A regular schedule of inspection is desirable. The results of each inspection can be made the basis for subsequent supervisory conferences and for holding workers responsible for a desirable level of performance.

Provide adequate maintenance funds. Satisfactory operation of buildings and other facilities requires adequate provision in the budget. With all-too-limited funds, agencies must balance needs against each other. Buildings are not ends in themselves, but their effective operation influences the quality and range of services. Economy and efficiency of operation can often prevent later costly expenditures and can release funds for direct services to people. Reasonably adequate funds for operation and maintenance must somehow be provided.

The Influence of Environment

The environment of offices, interview rooms, clubrooms and classrooms, social, educational, and physical activity areas exert a vital influence on clients and members. Readiness to learn is enhanced by attractive surroundings. Productivity is usually increased, industry has learned, when surroundings are satisfactory. Cultural influences—including other persons and physical settings—influence personality.

Community service agencies—which exist for the purpose of helping people to achieve more satisfactory adjustments, of helping them to grow and develop—should capitalize on the conditioning influences of surroundings.

The Executive's Responsibility

As in other areas of the agency's work, the executive director must carry over-all responsibility for the proper operation of buildings and other facilities.

If his agency uses facilities rented from others, or space made available by schools, churches, public recreation departments, or other community organizations, the executive must plan for proper supervision and proper use of the facility. The basis on which the space is made available must be clear both to owner and user. The conditions under which it is made available must be met.

When an agency owns and operates property, the executive is responsible for its appropriate, effective, and efficient use and maintenance. Properties provided through the gifts of individuals in a community represent a social trust.

The agency executive is responsible for seeing that proper policies are established for the use of facilities, for getting sound procedures and methods worked out and put into practice. Such plans can be developed co-operatively. Most of the ongoing work of operating and maintaining building facilities will properly be delegated to others. The executive must keep himself free from detailed maintenance responsibilities, even of direct supervision, in most cases. The responsibility for appropriate use, for setting the conditions for effective operation and maintenance, and for over-all oversight of the use and care of property, cannot be delegated.

Buildings and other physical facilities must be so operated, under the general direction of the executive, that the organization's purposes are furthered.

SUGGESTIONS FOR FURTHER READING

DAHL, CRETE M., *Housekeeping Management in Hotels and Institutions* (New York: Harper and Brothers, 1931).

DAHL, CRETE M. and WOLLEY, GRACE H., *Housekeeping Guide to Selecting and Training Employees* (Stamford, Conn.: Dahl Publishing Co., 1949).

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CHAPTER TWELVE

Maintaining Effective Community Relationships

COMMUNITY RELATIONSHIPS are inescapable for social agencies. They have potentialities for great value; they also involve difficulties. They constitute one of the most important areas of administration and so must be given major attention by those who carry executive responsibility.

Community relationships are fundamental for a number of reasons. Community service organizations need to be widely and favorably known in their communities. They depend for support on many people who do not expect to receive direct benefit from their services, whether the funds are secured from taxation or from personal contributions. Wide public acceptance for public agency services is usually necessary before legislation is passed. Voluntary agencies that conduct their own campaigns also need a favorable climate of public opinion. A firm belief, by contributors and potential supporters, in the essential importance of their services and the quality of their services is necessary to secure and maintain support. Agencies in community chests need the confidence of budget review committees and chest boards, and of foundation trustees. The securing of capital funds for buildings or bequests and other additions to endowment depends, fundamentally, on the confidence people develop in agencies. The standards of professional service ultimately depend upon the degree to which they are understood and appreciated by those who provide support.

Social agencies need to be favorably known if clients and members are to participate extensively and make maximum use of the services. Social agencies must be able to attract not only clients and constituents, but also board and committee members and other volunteers.

Social agencies also need effective working relationships with other similar organizations if they are to supplement their own services when needed and if they are to help supplement the services of other agencies. The interchange of experience among agencies also has an important influence on the standards of services provided. More adequate planning and co-ordination of services, whereby better balanced and more satisfactory distribution of services is achieved, also depend upon effective interagency relationships.

"All the aspects of community planning—" the writer has elsewhere stated, "fact finding, program development, establishing and improving standards, co-ordinating and facilitating intergroup relationships, education, and public relations, enlisting adequate public support and participation—are responsibilities of the agencies which provide the direct services . . . as well as of the persons directly related to chests and councils."[1]

Community relationships involve everyone in a community service organization—all employees, nonprofessional as well as professional, members, clients, board and committee members and other volunteers, contributors, other community groups and organizations, the general public. They therefore involve the personnel practices of the organization, the personal contacts of everyone connected with it, the program and services, the buildings, the working relationships with other agencies, the information and interpretation program. Community relationships are an intrinsic and essential part of the total administrative process. Planning, organizing, and directing these relationships is a responsibility of the agency executive. Many of the relationships and parts of the work will inevitably be assigned to others, but the final responsibility rests with the executive.

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[1] Ray Johns and David F. DeMarche, *Community Organization and Agency Responsibility* (New York: Association Press, 1951), pp. 6, 7.

Relationships constantly change because community life undergoes continual changes. New industries move into a community, new residential areas develop, and established areas change. Certain community needs become more urgent. New leadership emerges and established leadership becomes less influential. Although community life has become more interdependent, community unity has been only partially achieved. Many forces keep people apart. Indifference, misunderstandings, and antagonisms persist and, in many cases, create tensions.

Social agencies, their boards and their staffs, are deeply involved in a variety of relationships—they cannot escape them. The relationships are inevitable as they work with people and require considerable investment of agency time and energy. Many of the relationships are less satisfactory and productive than they could be; they must be improved. Continual analysis and readjustment are necessary. Creating and maintaining informed and favorable attitudes in the community toward the agency, and developing effective working relationships with other community groups, are continuing responsibilities.

Relationships with Other Direct-Service Social Agencies

The relationships social agencies maintain among themselves are among the most important. They directly affect the services rendered. Referring people to other agencies for specialized or supplementary services, and providing such services for persons referred by other organizations, constitutes a basic set of interagency relationships. A case worker may need to refer a boy or girl to a youth agency for a certain type of group work experience. A hospital social worker may decide that a specific kind of camping experience is needed. A group worker may find that some group member needs individual service his agency is not equipped to provide.

Sound referrals are based on a number of factors. Staff members must know what referrals another agency can appropriately accept—whether it has the resources to deal with the type of person and problem involved, whether their staff load will permit additions. They must know the proper persons in the other agency with whom the problem should be discussed. Agreement must be reached about the necessary background facts and arrangements made for exchanging information and making any necessary reports. Joint service is sometimes required, and close working relationships, based on mutual respect, are developed.

Interagency relationships frequently occur around the joint study of complicated neighborhood situations. Project committees, composed of persons connected with a number of organizations—social agencies, schools, police or probation workers, church representatives—work together in many communities to develop plans and joint enterprises.

Some social agencies engage in definite operating relationships. For example, three Boston agencies have evolved a significant joint operating plan which involves the joint ownership and operation of two adjoining buildings and an exchange of services. The Children's Aid Association, Inc., the Church Home Society, and the Judge Baker Guidance Center purchased two buildings next to the one already owned by the Judge Baker Guidance Center. Each organization provided part of the funds—one, $105,000, one $20,000, and the other $10,000. The three corporations hold title jointly. Passage of a special bill by the State Legislature was secured to permit the three corporations to hold title jointly on a tax-exempt basis.

The Children's Aid Association, Inc., uses seven floors of the two new buildings and pays seven-tenths of the maintenance expenses. The Church Home Society uses three floors and pays three-tenths of the maintenance costs. The Judge Baker Guidance Center has office space for two full-time psychiatrists and the use of interview rooms, on a scheduled basis, on the floors used by the Children's Aid Association. It also uses the neighborhood clubroom for its therapy groups. The Judge Baker Guidance Center, in turn, provides one half-day of psychiatric consultation each week and all the psychological services needed by the two other organizations, and opens its biweekly staff and teaching conferences to their staff members. Maintenance workers are selected jointly but are on the pay roll of the Children's Aid Association. Other operating expenses for the two additional buildings, such as heat, light, insurance, and repairs, are paid by the Children's Aid Association, with the Church Home Society making periodic payments for its proportion of the costs.

The Children's Aid Association has other joint services with other agencies. A Preventive Clinic is operated at the New England Medical Center by the Children's Aid Association, the Church Home Society, and the Citizenship Training Program attached to the Juvenile Court. All the medical work of the three organizations is done there. The Children's Aid Association and the Church Home Society also operate a joint clothing store for clients. Four child-care agencies—the Children's Aid Association, the Church Home Society, the Children's Mission, and the New England Home for Little Wanderers—have also outlined twelve areas of possible co-operation. They have started the operation of a "pool of homes." If, after two weeks, a home suitable for placement which has been found by one organization is not needed by it, the home is placed in the "pool" and is available for use by any of the co-operating organizations. Facilities for temporary care of children will probably be operated jointly.

Relationships with Community Chests and Councils

A great many agencies are members of community chests and community councils. Councils function under different names, and their structure varies. In some communities, they are organically separate from the chests, but work closely with them, sometimes with interlocking board and staff members. In other communities, the federated-financing, budgeting, planning and co-ordinating services function through one organization, sometimes called United Community Services. The relationships which agencies have with chests and councils exert a vital influence on agency services.

Agency members of community chests and community councils usually prepare a preliminary budget for the chest. The combined agency requests, combined with estimates of the total amount which can be raised, form the basis for campaign goals. Budget conferences, in which representatives of each agency meet with a committee appointed by the chest (and in some cities, by the council), review agency estimates and take into account community needs for each type of service and the amount of funds available. Agency budgets are then revised, incorporating the actual chest allocation and based on the conditions governing the appropriation. Payments are made periodically to agencies by the chests, and reports on finances and services are submitted by the agencies.

Agency representatives also participate in the planning and co-ordinating activities of councils or of the combined chest-council organization. They help study growing needs for services in sections of the community; they serve on research, public relations, and other divisional committees. They meet to discuss child-care services, family services, youth services, and health services.

Chest and council policies and procedures vary in different communities. The degree of control that chests and councils seek to exert on their member agencies, on finances and services, differs; likewise the attitudes and practices of agencies vary a great deal.

Relationships between direct-service agencies and chests and councils are in process of development. In many communities, problems and tensions exist. They involve (1) conflicting organizational demands—apparently overlapping functions and authority; (2) financial pressures—due to the need for more funds to meet increasing costs; (3) problems around the extension of agency services and of balancing the total community services; (4) the adequacy of planning and co-ordinating procedures. Some tensions are inevitable, whenever strong, growing organizations combine their interests and try to work together. Expanding needs and limited funds, and changing functions and services make continual adjustments necessary. Strong agencies with effective services and competent, strong interagency organizations must learn to work effectively together. Greater clarity of respective functions and greater skill in co-operative relationships are essential.[2]

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[2] For further consideration of these relationships, see *Toward Improved Chest-Council-Agency Relationships* (New York: Association Press, 1951) and Ray Johns, "Critical Issues of Council-Agency Relationships," *The Social Welfare Forum,* 1951 Proceedings, National Conference of Social Work (New York: Columbia University Press), pp. 323-334.

A number of principles are involved in such relationships. The following are particularly pertinent: (1) The welfare of individuals and groups in the community is the primary consideration in the development of community services. (2) Community services should therefore be distributed as equitably as possible in relation to need—geographically, and by age groups, ethnic, racial, and economic groups. (3) Diversity of services is needed: diversity of method, of type of services, of auspices. (4) Interagency bodies should provide for broad representation of direct-service agencies and of other community groups in their decision-making bodies. (5) Community planning for social welfare services, joint fund raising and allocation, and public interpretation are mutual responsibilities of chests and councils and of direct-service agencies. They are a mutual responsibility of both lay people and of professional workers.

Relationships with National Organizations

Most local social agencies are members of nation-wide social work organizations, such as the Family Service Association of America, Inc., the Child Welfare League, the National Federation of Settlements and Neighborhood Houses, the Boy Scouts or Girl Scouts of America, the National Council of YMCA's, the National Board of the YWCA, or Community Chests and Councils of America, Inc. Such national organizations provide field services and personnel and program services for local affiliates. These national agencies must secure most of their financial support from local communities, either through their local affiliates, directly from community chests, or from individuals.

These national agency relationships are important to local communities as well as to local agencies, for they affect the quality of services. They must be interpreted and used by local agencies, and must be supported appropriately by local agencies and community chests.

Local direct-service agencies also maintain important relationships with other nearby member agencies of their national organization. Joint planning and interchange of information and services, through informal contacts and conferences, have great value for these local agencies.

Relationships with Other Community Groups

Social agencies also have important relationships with other community groups.

Business and industrial leaders and employees of corporations need to understand social agency services. Personnel directors and union counselors and referral agents send workers to agencies for services. The families of workers, particularly boys and girls, participate in community agency activities.

Many agencies—particularly those which conduct informal educational activities and those which utilize school groups as a basis for organizing activities, such as the Boy and Girl Scouts, Camp Fire Girls, and the Y's—have mutually useful relationships with educational institutions. Social agencies often join with educational and cultural organizations, such as Councils on Foreign Affairs, libraries, and museums, to further parts of their programs.

Some community service organizations have official connections with religious bodies and therefore maintain close relationships with them. Others have no organic connection but maintain friendly and often close working relationships.

Social agencies sometimes join with other community groups in some measures or projects aimed at community betterment or other social advance. Such relationships, discussed further in Chapter 16, often involve consideration of basic social problems. Because they sometimes deal with possible solutions on which sharp differences of opinion develop, the relationships must be selected wisely but with courage.

Every social agency also must maintain relationships with governmental bodies. Public social agencies are, of course, themselves governmental bodies, whether they are in the field of public assistance, medical or psychiatric social work in government hospitals, in correctional work, in public recreation, or in some other type of tax-supported social agency service. Voluntary agencies derive their legal basis, with their tax-exemption and other privileges, from legislative action. The great growth of tax-supported welfare services in recent years has brought an obligation to voluntary agencies to sharpen and if necessary revise the focus of their work and to develop effective working relationships with public-agency bodies. Conversely, public agencies have an obligation to work well with related private-agency groups.

The Public Interpretation-Information Program

If a social agency is to be widely and favorably known in its community, it must do more than maintain effective relationships with other social agencies and with other community groups. It must have a well-conceived plan of interpreting and informing all such groups—its own members or clients, its employees, its board and committee members, the broader community.

The basis of a public interpretation program will include (1) the organization-family relationships, based on sound personnel policies and satisfactory working conditions under which employees will believe that the agency is "a good place to work," and that "it is doing a good job for the community"; (2) its community relationships—that it is known for its concern about key community problems, that all its community contacts are handled well, and that it works well with other similar organizations; (3) the quality of its services; (4) the materials it distributes—that is, what it says about itself.

CHANNELS FOR INTERPRETATION

A social agency needs to utilize all available channels of communication: personal contacts, the spoken and written word, and visual means, such as pictures and television presentations.

Personal contacts. The contacts which employees, clients and members, and board and committee members have with the general public and with their own friends, help to determine community attitudes toward an agency. The way telephones are answered, personal inquiries are handled, letters are answered are also vital influences. What is said in social groups is as important as the reasons given in an interview seeking contributions. Staff members and other employees can be coached to deal with inquiries about agency services and policies and about ways to answer or refer criticisms. Board and committee members can be kept informed so that they can interpret the work of the organization understandably and convincingly. Personal contacts and relationships are fundamental in an agency's public interpretation program.

Printed and pictorial materials. Folders and pamphlets announcing and describing parts of the agency's services serve both to expand services and to interpret purposes and work. Attractive formats, with good selection of type, possibly the use of color, as well as succinct, understandable language, are important. Annual reports should be so planned that they not only describe a year's work but make a favorable impression by their appearance. Small agencies may use pamphlets and printed reports infrequently; they may be restricted by costs to small brochures. The effect they create, however, as well as the story they tell, is just as important as the larger, more frequently issued booklets prepared by larger agencies.

Pictorial displays and exhibits can sometimes be used effectively. "A picture is worth a thousand words," says an old adage.

Technical assistance to prepare printed materials and displays is often available to social agencies without cost. Volunteers from among board and committee members or from commercial organizations can sometimes be secured to design pamphlets and prepare copy.

A moderate investment of agency funds can well be made to secure good pictures and to print attractive, readable folders interpreting an agency's work. Colored slides can be taken by skilled amateurs at relatively low cost, and motion pictures can sometimes be used to good advantage.

Meetings. Annual meetings, necessary for the transaction of business, can be made important interpretive occasions, and, of course, other types of meetings can be planned. Plans for meetings should be thorough: suitable conditions include pleasant, comfortable surroundings, a time-schedule which does not tire people and which keeps to announced times, business which is based on available facts, and time for necessary discussion but which handles routine matters with dispatch. If speeches are made, they should deal with important questions, and be made by people who have something to say with skill to say it well. Variety of content and method is wise: dramatizations, pictures, symposiums, panels, discussions. Different settings, different occasions, different types of meetings can be used.

Newspapers. Daily and weekly newspapers bring news to people and influence their attitudes toward events and organizations. Most social agency activities have limited news value, but some events and services can be so described that they merit newspaper space. Social agency executives and officers can develop personal contacts with publishers, editors, and reporters which will not only create co-operative attitudes but bring forth suggestions about what kind of copy can be used and how it should be prepared. News releases should quickly state "who . . . what . . . when . . . where." Good pictures, taken by the agency or the newspaper, can often be used. Feature stories, sometimes developed around a person (usually not the executive) can sometimes interpret a particular service. Newspapers in smaller communities, or neighborhoods of larger cities, can ordinarily use considerable material, if it is sent or brought to them properly written and on their time-schedules.

Radio and television. Some social agencies can use part of the public service time provided by commercial radio and television stations. Technical advice is usually available from station program directors about what services or events can be described and how it can best be done. As educational television channels become more generally available, more opportunities to use radio and TV will be possible in some communities. Radio and television time is too costly for social agencies, but some public service time is available at most stations without cost.

INTERPRETATION RESOURCES

A number of different resources are available to help social agencies plan and carry out effective interpretation and information programs. The board of directors may well include one or two persons who have special publicity skills; a small committee may be useful, even in a small agency. A staff member who is especially interested may develop considerable skill. People connected with newspapers, printing firms, advertising departments of local stores, colleges, industrial firms, or advertising agencies will often provide valuable assistance. The community chest will furnish assistance and channels; joint efforts should be encouraged.

Many national offices of social agencies give suggestions about how to develop a public relations program. Folders, with space for local imprints, are sometimes made available. Releases for newspapers, spot-announcements for radio stations, records for radio use, filmstrips, and motion pictures are prepared and distributed by some national agencies.

The National Publicity Council for Health and Welfare Services, Inc., 257 Fourth Avenue, New York City, is a useful source of technical assistance for staff members and committees.

The Executive Role in Interpretation and Relationships

The role of the agency executive in establishing and maintaining effective community relationships, including a public-interpretation program, is a central one. In summary, it includes the following efforts he must make:

1. He assists the agency board to establish policies which will make the services an effective part of the community's total pattern of social welfare services.
2. He provides leadership for the staff in making the agency's services effective; establishing effective working relationships with other community agencies; and assuring that the agency will work well in the community's joint efforts: fund raising, gathering needed facts, planning needed adjustments in existing services and for new services.
3. He must be an effective co-operator himself, in the specific responsibilities he undertakes.
4. He establishes an effective public interpretation program, utilizing all available media, coaching staff members and other employees in their contacts with the public.

The agency public-information program will need to be kept flexible. Reasonable goals should be established each year: to win the approval or co-operation of some entirely new group in the community, to give special emphasis to some branch of the service, or to take advantage of some increased interest. The amount of money needed for materials or services must be estimated, and budget provision made for it. Responsibility for specific relationships and public relations responsibilities will be reviewed periodically, and the ones to be continued will be reassigned. The whole organization will be kept "relationship-minded and public relations-minded."

Effective community relationships, which result in productive working relationships with other community groups and in wide, favorable attitudes toward the agency's work, is a continuing, basic aspect of executive responsibility.

A WORD ABOUT PART III WHICH FOLLOWS

With an understanding of what the administrative process involves, as explained in Part I, and of the need for competent leadership in the various areas of executive responsibility as set forth in Part II, there comes the desire to do all that is possible to make and keep one's administrative efforts efficient and at the same time to formulate from this practical experience a set of values as a guide for work with people. Values are implicit in all practice and are inherent in all aspects of the administrative process.

Part III, Chapters 13 to 20 inclusive, deals with these aspects as they will strengthen the organization and facilitate the carrying out of its purposes—such aspects as will bring skill in human relationships and provide opportunity for the development of lay and staff leadership.

It should be noted that the various aspects of the administrative process which are considered in the eight chapters of Part III are not isolated factors. Actually, they are closely interrelated. For example, communication and participation are fundamental to co-operative decision making; authority and leadership are involved in participation and in decision making; lay and professional relationships influence every aspect of administration, particularly in social agencies. They are discussed in separate chapters for convenience, but they are all related to each other and to the different areas of executive responsibility.

SUGGESTIONS FOR FURTHER READING

BAKER, HELEN CODY and ROUTZAHN, MARY SWAIN, *How to Interpret Social Welfare.*

DICKINSON, R. L., "Maintaining Favorable Public Relations," *The Executive Role in YMCA Administration*, Gren O. Pierrel, Ed., pp. 314-333.

JOHNS, RAY, and DEMARCHE, DAVID F., "Principles with Regard to Agency Relationships," *Community Organization and Agency Responsibility*, pp. 239-241.

PART THREE

Facilitating the Administrative Process

CHAPTER THIRTEEN

Maintaining Communication and Participation

One of the most central aspects of the administrative process is that of maintaining effective communication and participation throughout the organization. They vitally influence the effectiveness of all organizational activity.

An organization is essentially a small society of people, working together toward common goals. Common goals require that policies be known and accepted throughout the organization. People must know what plans are being made and how they can help to forward them. Instructions must be transmitted. Opportunities must be available for people to make their feelings and their ideas known. Communication and participation are necessary in all types of organizations, in business and industrial companies, and in nonprofit organizations.

Special difficulties are involved, however, in maintaining communication and participation in community service organizations. The lay forces—boards, committees, and other volunteer workers—occupy strategic roles, particularly in policy making. Trained staff members, on the other hand, bring an expertness, a special skill related to both purposes and methods of service. Ready communication between laymen and professionals, in formulating policies and overseeing services, must be established if these two types of experience are to be fully utilized. Another important factor is the large membership many such agencies have. Their committee service is often extensive. Keeping members and clients, lay groups, and professional staff members informed about what is going on is a difficult but necessary responsibility.

Why Communication Is Essential

Communication is necessary for several specific reasons: to distribute information, to secure information, and to enlist widespread collaboration and co-operation.

Distributing information. Everyone in an organization must be kept informed about policies under consideration, about plans which are being made, and about special problems which are arising. When new policies have been adopted, they must be made known. Decisions which affect workers and members and clients, made by boards of directors or top executive officers, must be interpreted. Instructions must be transmitted—to supervisors, department heads and executives of districts or branches—so they can be accepted and put into effect.

Social agencies are often affected by policies and plans made by their national organization or by their local community planning council or community chest. New policies, new ways of dealing with problems—sometimes limitations on services—must be described and interpreted.

Securing information. Boards of directors and top executive officers need to secure information from people in different levels in their organization. The problems clients and members face sometimes make new policies and new procedures necessary, if the services are to be kept effective. Grievances and complaints, and suggestions for improvement of services, must reach the people who can do something about them. Policy-making groups and executive officers need to know what people throughout their organization are thinking, how they are reacting to policies and regulations.

Enlisting widespread collaboration and co-operation. An organization where people work together for common purposes has to develop a sense of partnership throughout the enterprise. A growing organization is one which keeps a climate where fresh ideas float around. This requires a sense of freedom to express ideas. People must come to believe that their ideas will be taken into account. This recognition will be evident to them as their suggestions are discussed and, if considered valid, used. They need a sense of security; they must feel that they belong. Communication is essential if widespread collaboration and co-operation are to be achieved.

A Many-Way Process Involving Participation

Communication is not only a downward process of transmitting policies, plans, and instructions: it must be an upward process from clients and members to committees, to boards; from employees in maintenance and clerical positions to supervisors, to executives. It must also be a lateral process, from department to department, from division to division, from branch to branch, from specialization to specialization.

Participation is inevitably involved in the communication process. Information and ideas move from person to person. Conversely, good communication is fundamental to real participation. People cannot participate effectively in the work of an organization unless they know what is going on. They must at least know about the matters which are related to their participation—what is expected of them, what they can do to help. They develop blocks to participation unless their ideas and their feelings are expressed and considered.

Participation is a major clue to acceptance of communications. If people have had a part in considering problems and in developing plans, they are more likely to accept them as wise and feasible.

Communication Methods

A wide variety of methods of communication are used in social agencies, as in other types of organizations. Some of these methods are direct, others are indirect; some are formal, others informal.

Reports. Reports are one of the most used and most useful means of communication. A case work supervisor uses a case record, a type of report, to assist a case worker to analyze her work on a case. A group worker uses a group narrative record to understand the interactions occurring in the group. A personnel appraisal not only records and reports the progress of a staff member, but it becomes a useful basis for supervisory conferences.

An agency executive examines a monthly report of services and a monthly report of finances: they are sources of useful information to him; they are also the means by which other staff members keep him in touch with the progress of the work. The executive also communicates with the board of directors, the community chest, and the agency constituency through reports.

Committees communicate to the board of directors through their reports of progress and of work completed. The annual reports of the agency become the way in which the board and executive report to the community.

Reports are most useful, as a means of communication when (1) they present problems and difficulties as well as gains and accomplishments; (2) they provide a means of comparison, either with recognized norms or with the record at a previous period, such as a month or a year.

Meetings. Social agencies, possibly more than most other organizations, use meetings as means of communication. Regular and frequent staff meetings are essential to make plans, to transmit information, to develop and maintain a sense of working together. In small agencies, staffs can meet as a whole, sometimes nonprofessional as well as professional workers. In larger agencies, staff meetings will necessarily be of several different types: department or division meetings; branch staff meetings; meetings of specialized workers from different departments, branches, or divisions; meetings of the entire staff to deal with over-all matters.

Board meetings and committee meetings, and councils representing program groups of the membership, are important means of communication. Problems sometimes arise in one section of an organization which affect another section, or on which the thinking of other groups is desirable. Problems and progress in one part of an organization, when discussed in a wider context, often stimulate another part of the organization.

Annual meetings, in addition to handling necessary corporate business, are a useful, potential means of communicating information about community problems with which the agency deals, about plans being formulated to meet them. They can become a means of fundamental education about community needs and services.

A wise executive will be alert for opportunities to bring people together around areas of common interest. Informal groups, sometimes composed of staff members, sometimes of lay leaders, sometimes of both groups, can be centers of stimulation as well as of co-ordination.

Manuals and memoranda. Manuals of operation—personnel manuals, business procedure manuals, membership or intake policy manuals—are useful ways of communicating policies and procedures. They are particularly helpful with new employees in larger organizations and are also useful in smaller agencies. Memoranda to staff members and to committees are effective means of outlining assignments. Memoranda from staff members and from committees are also used to make reports, to present analyses of problems, and to make proposals and recommendations.

Printed materials. Social agencies use printed annual reports to communicate with their members, supporters, and friends about the work that has been done and to enlist support for further work. Such reports should be appraised for their ability to communicate ideas. Text, pictures, financial summaries, graphs, and tables are useful means of conveying ideas.

Printed folders and pamphlets are also used to describe and promote participation in activities and services. They are interpretive devices; their purpose is to communicate ideas to people. Many industries use such materials to enlist new customers. Social agencies use them to enlist members or clients. Industries also use company magazines and management letters to communicate with employees. Some social agencies use house organs to inform members and employees about activities, services, and plans. In general, however, such house organs are less used by social agencies.

Face-to-face contacts. Personal contacts among employees, other staff members, members of a community organization, and between executives and other staff members, and members and clients, are among the most important means of communication which are used. No printed materials, official memoranda, reports, manuals or larger meetings can adequately replace face-to-face contacts between individuals.

Business and industrial leaders advise each other and their subordinates to maintain personal contacts with their employees. They commend the art of listening. Though the development of large corporations and the growth of union organizations have made personal contacts of employer and employee more difficult, and placed them on a more impersonal basis, many executives tour their plants regularly, stopping informally with workers. In some organizations, junior executives meet regularly with senior executive groups and are encouraged to express their ideas.

Executives of large social agencies also face difficulties in maintaining continuous personal contacts with all employees, and particularly with member and client groups. Face-to-face contacts can be stimulated throughout an organization, however, with many different people participating in them. Board members, sometimes quite isolated from the direct services and the people who use or participate in them, can become involved.

The value of face-to-face relationships, in communicating ideas and in establishing effective relationships, cannot be overestimated. They should be recognized, and utilized as extensively as possible, as a fundamental means of communication.

The "grapevine." The informal channel of communication in any organization, the "grapevine," is one of the most influential means by which information travels. It is a channel which cannot be abolished; it is difficult to control. It rests on the informal relationships of individual workers. It utilizes the coffee hour, the lunch-time groupings, the social relationships which develop from friendships and contacts made at work.

A number of studies of the methods and influence of the "grapevine" have been made in industrial organizations. They reveal that news travels faster by this informal, unofficial channel than by other means, that information often gets distorted, that it travels in certain directions faster and more definitely than in others, that workers rely on it, and that administrative policies are often directly affected by it.[1]

Grapevines operate in community service agencies as well as in business and industrial organizations. News travels fast, sometimes inaccurately. This is inevitable, for informal relationships develop wherever people work together.

Grapevines can be assets as well as liabilities. Their negative effects can be minimized. They can become positive influences, whereby accurate information can be disseminated, and people develop a genuine sense of participation.

One way to deal with organization grapevines is to make information quickly and accurately available. If people know that they will get word of plans regularly and without undue delay, speculation can be minimized. If a climate is created where employees and members feel sure that information which is important to them will not be withheld, they will be more likely to wait for it.

Executives can often secure important information about attitudes of workers, members, and clients if they can develop the kind of relationships that will permit them to know what the grapevine carries. They can, under certain circumstances, test out possible reactions by letting the grapevine carry word of some plans under consideration. If they do, they must be sure that they know what the reaction is.

On the whole, the inevitability of grapevines must be accepted. They are a natural concomitant of human relationships. Where workers are secure, where they feel themselves an integral part of an organization's work, they need not be feared.

Barriers to Communication

A number of barriers to communication are likely to develop in any organization. They operate individually and in combination.

Semantic difficulties. People with different backgrounds develop different vocabularies. Words take on different meanings, particularly when they become incorporated into technical fields. Many much-used words have several different meanings. Many people lack skill in translating meanings from one vocabulary to another or from one point of view to a different one. Social workers face a special necessity to find ways to translate their technical concepts into everyday language and to provide concrete examples to give them meaning. Nonverbal aids to communication—pictures, demonstrations, experiences—can be utilized with the spoken word.

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[1] See Keith Davis, "Management Communication and the Grapevine," *Harvard Business Review,* September-October, 1953, pp. 43-49, and William H. Whyte, Jr., "The Elusive Grapevine," *Is Anybody Listening?,* pp. 109-126.

Formal organization. The formal channels of authority and responsibility, as set forth in organization charts and manuals, can be serious blocks to effective communication. Problems can seldom be compartmentalized; exchange of opinion should be as broad as the problems they concern. "Rapid changes in complex daily operations require the flexible and swift exchange of information, and formal arteries of communication alone are not strong enough to carry the load."[2] When any person in an organization is free, regardless of formal channels, to consult with anyone who can help him with his problems, one of the conditions of good communication exists. Some limitations are obviously necessary: supervisors and executives should be informed before consultation occurs with other departments or units, particularly if the action may later need to be justified.

Rigid adherence to channels is likely to make junior staff members (staff members other than executives) feel restricted. It is likely to delay necessary action. It is also likely to make executives the victims of their own organizational structure. The exchange of information can be greatly accelerated if executives recognize the value of informal contacts.

Socio-psychological blocks. Socio-psychological blocks to communication are just as real as semantic or organizational barriers. They are not so generally recognized or understood.

Differences in status, in power and prestige, may block the development of two-way communication. A worker may find it difficult to talk frankly to her executive. A supervisor or executive, aware of broader agency or community pressures, may find it difficult to understand or to accept the ideas and feelings of a staff member or other employee. Differences in interest, in personal backgrounds or frames of reference, different values, different threats to security, create barriers.

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[2] Edmund P. Learned, David N. Ulrich, and Donald R. Booz, *Executive Action* (Boston: Graduate School of Business Administration, Harvard University, 1951), p. 112.

A natural tendency to judge, to evaluate, to approve or to disapprove sometimes proves a barrier to communication. When heightened emotions or feelings are involved, this tendency is accentuated. When emotions are strongest, it becomes exceedingly difficult to understand a different frame of reference.

Essential Factors

Many of the factors essential to effective communication and participation can be identified:

A favorable atmosphere. A climate favorable to widespread, rapid communication and genuine participation is fundamental. When people in an organization are aware that they are expected to know what is going on, that they are expected to participate frankly in discussions of agency policies and procedures—when they come to see from actual experience that they can express points of view different from that of their executives without fear of penalty—communication and participation are generally more effective.

Unity of purpose is also necessary. Acceptance of the organization's aims and objectives, a belief in the value of the services, an acceptance of the agency's leadership, must be developed throughout the organization.

Sound structure. The system of responsibility and authority, inherent in the agency structure, is the basis for formal communication. Dissemination of the right facts, to the right people, at the right time, can relieve stress and encourage participation. An organizational hierarchy is inevitable, for different levels of responsibility and authority must be established and followed; but the organizational distance between positions can be minimized. The smaller the agency, the simpler the structure and the more informal the relationships can be. Sound structure, with clearly defined relationships, is essential.

Informal channels should also be provided. Informal systems of influence are based partly on formal status and partly on social relationships. They are an essential element to effective communication.

Effective procedures. Communication and participation depend, to a considerable degree, on effective procedures. They involve a number of elements: (1) Source—the place from which different types of communications originate in an organization and the place from which widespread participation is encouraged, are important. These sources, different for different purposes, should be identified and known. (2) Form—the form in which communications are issued influences the degree to which they are understood and accepted. Clarity of language is essential. Similarity of form, for communications of similar type issued periodically, is often helpful. (3) Authenticity—the source from which instructions are issued, with reference when appropriate to official board action, establishes their authenticity. (4) Routing—a definite plan for the routing of communications, especially in larger organizations, is necessary. Information which missed certain people specifically concerned quickly causes confusion and ill-will.

Appropriate skills. Certain skills are involved in communicating clearly to people and in evoking their participation. The ability to express ideas with clarity, in writing or in speech, is a difficult one to acquire, particularly in a field where complex situations and problems are involved. Executives in all types of organizations face this difficulty. Social workers, who deal with concepts and practices not generally understood, who deal with complicated problems of individuals and communities, whose technical terms are still evolving, need to give unremitting attention to this problem. They need to search for language not only that is convenient and appropriate for them, but that will convey meaning to others.

Skill in personal relationships is also involved. Poise in the face of emotional tension, ability to understand pressures others face, skill in sorting out issues, understanding about when to make and announce decisions and when to defer them, must somehow be achieved. Communication and participation require leadership.

Executive Responsibility

The executive's responsibility is sometimes thought of as that of solving problems, of formulating policies, of creating the necessary structure and delegating responsibility, of financing the organization, of overseeing the work of the organization. Such responsibilities must be handled in a competent way.

Effective communication and widespread participation, however, cut across these specific responsibilities. Unless an executive can maintain the conditions for them, the other responsibilities cannot be met well. As one of his primary personal responsibilities, the wise executive will give continuous and major attention to creating and maintaining the proper atmosphere—and the supporting organizational steps—for clear and candid communication, and for widespread participation throughout the organization.

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CHAPTER FOURTEEN

Getting Decisions Made

THE PROCESS OF GETTING decisions made and carried out in an organization is at the core of the administrative process. What decisions are made, and how they are made, largely determines the quality of the administration. The decisions about personnel selection, about salaries, about what new services are to be undertaken, about budgets—all decisions influence what a community agency does, how well its work is done, how well it is accepted by the community.

Administration is essentially a process both of deciding and doing. Decision and action are inevitably intertwined in all rational behavior. An understanding of the process of decision making can be an important asset to a social agency executive.

Decision Making and Participation

Wide participation in decision making is being more and more accepted as valid in all types of organizations—industrial and business organizations, educational institutions, social agencies, voluntary groups of all kinds. Two reasons underlie this belief: (1) the abilities of different people can thus be more fully utilized; and (2) the growth and morale of the people involved are stimulated.

An apparent conflict often develops, however, between widespread participation and prompt and appropriate decisions. Participation can delay needed decisions unduly. Participation takes time; some decisions must be made to avoid more serious problems. Some participants lack the necessary experience and ability to share in making certain decisions. Participation must be used to further, not impede, a sound decision-making process.

Decision making and participation are both extremely important in community service organizations. The work of such organizations must be effective and so decisions must usually be made promptly. Yet their very purposes—to assist people with their problems, to help them develop and grow—make participation necessary.

The Nature of Decision

All behavior, as Simon points out, involves conscious or unconscious choice of certain actions. Each time an individual follows one course of action, he has inevitably rejected other possible courses of action. Every action is selected from a set of possible alternatives, by the actor or by someone else. Some choices are simple reflex actions; others involve conscious choice. Some involve a simple choice; others are based on a series of steps, sometimes following a plan or design. For example, a man who is driving a nail into a board makes a relatively simple choice: he selects the spot where the nail is to be driven. If he is building a small shed, he develops a plan which involves a series of choices: How large will it be? Where will it be located? Will it have a window and a door? How much material, and what types of material, will be needed?

The work of community service agencies also involves decisions of many types. Choices must continually be made. Employees and other staff members are selected, on the basis of established qualifications and decisions about the work to be done. They in turn make choices daily: a typist decides when she will use new carbon paper; a filing clerk decides where certain items are to be filed; a case worker decides, with the client, what course of action is to be followed; a group worker decides when and to what degree he will try to influence the choices his group is about to make; the agency executive is continually selecting, from possible alternatives, how he will deal with other staff members, with the board of directors, with other community groups.

Making decisions is a joint process in any organization. Few decisions are made by an executive alone, as Barnard points out. Every decision is likely to affect many other people. Most decisions are based on what other people think and what they do. ". . . the decision-making process is collaborative far more than is generally realized," Tead has written.[1] Wise decisions are usually joint decisions. Such decisions, based on the knowledge and feelings of everyone involved, are more likely to be the correct decisions. They are also more likely to be acceptable to everyone concerned and thus are more likely to be effective.

Decisions are based on goals and values. What a person is trying to accomplish will influence what he decides to do—what course of action he selects. A number of goals or values may be involved, from which choices must be made, or a reconciliation of values effected. For example, a social agency supervisor may be seeking both to improve the quality of the case work or group work and, at the same time, to develop a staff member to the point where sounder judgment is exercised. The supervisor could insist that the worker follow a certain procedure, or certain specific steps, with the client or the group. On the other hand, the supervisor could concur in the worker's taking another course of action, possibly risking failure or less effective service. The possible effect on the client or the group must, of course, be taken into consideration. The different values may be reconciled by the way in which the supervisor helps the worker to analyze the various possible alternatives. But the different goals and values must be taken into account.

Decisions are also interrelated. One decision, in an organization, often affects other decisions. For example, a budget decision in an agency may greatly influence the number of people the agency serves and the type and quality of service provided.

Decisions are made on different levels in any organization. Choices of action made by persons in the less responsible positions may affect the public relations of an organization; they sometimes help to shape organizational policy. Conversely, decisions about agency objectives or policies made by the board of directors or the senior agency executive influence the behavior of people throughout the organization.

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[1] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, Inc., 1951), p. 126.

Factors Which Influence Decision Making

A number of factors, some of which have already been mentioned, affect what decisions are made and how they are made:

One: the values, goals, or objectives—immediate or more distant—affect the decisions. The financial policies of a social agency will be influenced by the fact that one of its goals is to provide service of the highest possible quality, not to show the best possible margin of profit. The policies are also influenced by whether the agency decides to do as much service as possible, or whether it selects the basis of limiting the amount in order to provide its services on a certain level of performance.

Two: the facts of a situation influence decisions. For example, how much money a community service agency has available will determine, to a considerable degree, how large a staff it will have and how much and what type of service it will provide. The facts regarding clients or members will affect decisions made about them and with them.

Three: organization loyalties develop as workers accept the purposes of an organization. People tend to identify themselves with their work and with their company or organization. The plea, "Our department needs more funds," is likely to be as much an indication of personal identification and loyalty as it is of objective evidence of additional needed resources. Loyalties to an organization have great value. They are motivating forces behind devoted and effective service.

Difficulties often develop, however, around organizational loyalties. They sometimes prevent individuals from making correct decisions, where values restricted to one area must be weighed against values in other areas. The financial needs of one type of service, or of one department or branch, must often be measured in relation to the needs of other units. The higher a person goes in an organizational structure, the broader must be the range of values used for making judgments. Executives who have had their earlier experience in one type of service have a particular responsibility to free themselves from identifications and loyalties narrower than the scope of the whole agency's service.

Four: authority is another factor which influences the decisions made by people in an organization. If the authority of an executive or supervisor is conceived as unquestioning obedience, the range of decision is limited largely to him. Even in such cases, however, instructions or orders beyond the "zone of acceptance" result in decisions made by subordinates. When authority is considered more nearly as influence, due to greater experience and wisdom as well as position or prestige, it still is an influential factor in determining the kind of decisions which get made.

Five: advice and information flow in many directions in any organization. They influence decisions on all levels of operation. Clerical workers advise each other; they also exchange information. Professional staff members, particularly when effective working relationships exist, make suggestions to one another. Executives advise and suggest more often than they order.

Six: efficiency, defined by Simon as taking the shortest path or the cheapest means in attaining desired goals, influences many decisions. Executives and other staff members decide to do certain things in a particular way because it means using agency funds to better advantage. Certain supplies or equipment are purchased because they represent good value. Some expenditures are not made because they cannot be made within the authorized budget. To be "efficient" involves values. It is a major factor in many administrative choices.

Seven: the training which goes on in an organization, formally or informally, influences decisions. Training helps organization members learn how to make satisfactory decisions, without the need for constant instructions and advice. Training may be on different levels: it may inform workers of specific, approved ways of doing things; it may supply facts necessary to make correct decisions; it may provide a frame of reference or an indoctrination to values in terms of which decisions are to be made.

Eight: willingness for oneself to make decisions and for others to make them is a factor. Some people shrink from making decisions: they are indecisive, they procrastinate, they wait for others to decide. Some executives, on the other hand, make decisions others should make. They have not developed skill in helping their assistants learn to make decisions. They dissipate their own time and energy in deciding matters which have been, or should be, delegated. Staff members need to learn what matters should be referred "upward" for decisions. Executives need to learn how to get policies established to cover general situations and then have specific instances settled by others.

Timing in Decision Making

In most organizational decisions, timing is an important factor. "What to do" must always be combined with "when to do it." In a business, it is important to decide when to bring out a new product, when to build a new plant, when to make changes in personnel. Decisions to make changes in the services or facilities or personnel of a social agency also involve proper timing.

Timing is something of an art. Rational factors are undoubtedly involved. They must be dealt with in combination, however, and some degree of intuition, or "feel" for the situation must be included. Proficiency in timing can undoubtedly be improved by study and practice.

The available time-span varies in different situations. Plenty of time is sometimes available to work out plans and to put them into effect. In other cases, an executive and his staff "work against time."

Foresight and insight are both necessary to proper timing of decisions. When administrative problems can be anticipated, more time for preparation is available. The needed changes can be thought out, discussed with everyone concerned, adjustments made. Many misunderstandings and tensions can thus be avoided. Insight, the ability to "think into" a situation, makes it possible to take all relevant facts and feelings into account.

WHEN TO MAKE DECISIONS

A number of types of situations in which the proper time has arrived to make decisions can be identified:

One: when consensus points are reached. After possible changes have been discussed thoroughly by everyone concerned, after all the available facts have been examined and possible reactions and results have been considered, points of agreement are usually reached. Executives can acquire the ability to recognize such areas of agreement. Points which require further study can also be noted. When participants reach agreement, decisions are obviously ready to be made. Promptness in reaching decisions on matters which require short deliberation frees people to concentrate on more difficult problems.

Two: when emergencies require action. Situations sometimes necessitate action when agreement proves impossible, or at least has not yet been reached. Executives must sometimes take individual responsibility for making decisions. "We'd better try it this way" is on occasion necessary. Ability to secure acceptance of decisions made by one responsible person is also involved.

Critical situations sometimes require decision and action when all desired facts are not available. The more complex the problem, the less adequate the facts are likely to be. Executives must sometimes have the capacity and courage to act on the best available data and be able to live with the consequences.

Three: when obsolescence threatens. Facilities, services and products, or personnel which are out of date endanger the stability and usefulness—and even the very life—of both a business and a community service organization. Buildings and equipment which are outmoded and inefficient dissipate resources. New services initiated by another organization—public or private—sometimes make discontinuance of established roles or major adaptations imperative. Personnel which has not proved as suitable or as competent as anticipated, or which has become complacent and comparatively ineffective, sometimes needs replacement.

Four: before action is needed. Early consideration of questions well ahead of the time when action will be needed is often wise. Such discussion can usually be conducted without pressure or strain. People can get accustomed to changes before they are made. Acceptance of decisions is more likely if adequate time has been available to examine all related facts, to permit full consideration of different viewpoints, and to examine possible effects.

WHEN TO DEFER DECISIONS

Proper timing requires ability to know when decisions should be deferred. When strong differences exist among the necessary participants to a decision and its effective carrying out, and when the situation is not so pressing that immediate action is essential, it is wise to postpone a decision. Sometimes a decision can be reached on parts of a problem and deferred on other parts. On occasion, a general plan can be made but a decision made to put it into effect one step at a time.

"The fine art of decision," Chester I. Barnard has written, "consists in not deciding questions that are not now pertinent, in not deciding prematurely, in not making decisions that cannot be made effective, and in not making decisions that others should make.[2]

Different Roles in Decision Making

Decisions are made in different parts of an organization; different roles and responsibilities are involved. The following decision-making roles can be identified in most community service organizations:

One: the board of directors. Responsibility for adopting general policies, for approving major procedures and steps related to the services, for overseeing the services and resources of the organization, is the responsibility of the board of directors. The board makes the final decisions as the responsible legal body. All other decisions are subject to review and confirmation by the board.

Two: committees. Committees are primarily planning and recommending groups. They decide what they will recommend. Sometimes committees are assigned "power to act." Even in such cases, however, they are responsible to the body which appoints them (usually the board), for what they decide and what they do.

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[2] Chester I. Barnard, *The Functions of the Executive* (Cambridge, Mass.: Harvard University Press, 1942), p. 194.

Three: member councils and clubs. In many community service organizations, decisions affecting their own activities are made by councils and by clubs. Such decisions are ordinarily within the framework of general agency policy.

Four: individual members and clients. A large number of decisions are made by members and clients about the way in which they will participate in the work of the agency. They choose their activities; they decide how frequently, and often with whom they will do certain things. Clients participate with case workers in making decisions about their problems and plans. Decision making by individuals and groups is a major method by which persons are helped to become competent to manage their own affairs. Social agencies make extensive use of this method; many social agencies could use it more frequently.

Five: executives and other staff members. Executives who carry administrative responsibilities, other professional staff members, and nonprofessional employees are constantly making decisions. Most of these decisions are made within established policies and in accordance with authorized procedures. How they handle certain types of situations is usually decided by policy; how they decide a particular problem or case is usually their own decision, or one made with the particular individual or group concerned.

Staff members also play an important role in the decisions made by the board of directors, by committees, councils and clubs, and by individual members and clients. Their role is one of making pertinent facts available, of helping to analyze problems and situations, of identifying possible courses of action, and of making their experience available in reaching sound decisions. Many of the decisions are thus joint decisions, with lay members and staff members sharing in the process and in the responsibility.

Six: decisions made outside the agency. Many decisions which affect the work of a community service organization are made by other community groups. Community chest leaders usually decide how finance campaigns are to be conducted, what campaign publicity is to be used, what people are to be asked to contribute and in what amounts. Their committees decide how much money each participating agency is to receive.

Community planning councils influence, even though they may not make, decisions about what new services are to be organized, where they will be located, and what groups they will serve. They help to determine, if they do not decide, what adjustments in services are to be made. Legislative bodies also make decisions affecting social agencies, through laws that are enacted and interpretations that are made. For example, charters and articles of incorporation establish rights to receive contributions and bequests, to have exemption from taxes; laws often outline hours of work and wages to be paid certain groups of employees. Decisions made by unions also sometimes affect agency operation.

Many of the decisions made outside the agency, particularly those made in the better-functioning chests and councils, are made by groups which include agency representatives. Acceptance of decisions made either outside the agency or in collaboration with other community groups requires special interpretation.

A Continuous Process

Making decisions is a continuous process in any organization: one decision leads to another. Some decisions soon create the necessity for other decisions. Conditions change and decisions must be made to meet the new situation.

Decision making is one of the most influential factors in determining the effectiveness of the work that is done. The ability to make decisions, and the skill to help others to make decisions and to participate with others in making them, is a basic one for executives to acquire.

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CHAPTER FIFTEEN

Relating Processes and Purposes

One of the most important but complicated problems executives face is that of keeping the aims and purposes of the organization and the administrative processes used consistent with each other. Reconciling aims and processes is an especially significant aspect of the administrative process.

The problem is particularly pertinent to community service organizations. Such organizations exist to help clients solve their problems, to help members develop and grow. Yet, because they operate largely with community funds—from taxes or from contributions—they sometimes develop administrative practices, for dealing with clients or members and with employees, which seem quite inconsistent with their organization purposes.

The Aims of Organizations

The aims or purposes of an organization are inherent in its creation and continuance. Ordway Tead writes, "A going organization arises out of a deliberate association of persons desiring to do something together, to realize certain defined objectives, which as individuals the persons either could not do for themselves or could not do as well."[1] A newly created organization is likely to have reasonable clarity of purposes and general acceptance of them by the organizing group. As the organization continues, it becomes necessary to attract persons with similar aims, or to make the aims appealing to those who join it, as investors or customers, as clients or members, or as employees.

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[1] Ordway Tead, *The Art of Administration* (New York: McGraw-Hill Book Company, Inc., 1951), p. 7.

A variety of aims inevitably develops in any organization. The people who create an organization, or later become associated with it, come from different backgrounds. Each one has been influenced by previous experiences, by their own ethnic or cultural heritage, their own scale of values, their education, their socio-economic status. Each one has personal needs. They come into an organization to express some of these personal purposes or to satisfy certain personal needs.

Tead has classified organizational aims as (1) legal, (2) functional, (3) technical, (4) profit making, (5) personal, and (6) public.[2] Though his analysis is directed particularly to business organizations, the same types of aims may be identified in community service organizations:

One: the legal aims of a social welfare agency, like a business organization, are set forth in its articles of incorporation, or in its charter, and in its constitution. These statements of aims are usually very general, and so are advantageous in adapting to changing needs as years go by, but disadvantageous in interpreting the purposes and developing an intelligent and warm response to them. Clarity and preciseness are desirable, if governing boards, executive officers, and clients and members are to be able to know whether the services rendered or the methods used are consistent with the stated legal purposes.

Two: the functional aims are those related to the social function performed by the organization—supplying needed products or services. A business can measure its functional aims by the public response to its products and services—by its sales. A community service organization must meet the same criteria. The volume of use of services is one, though only one, measure of community acceptance. Needs for human services change, as employment increases or decreases, as tensions in families and communities mount or subside, as new specialized services develop. Functional aims of community service organizations must therefore be modified from time to time. Functional aims, when clearly seen by financial supporters, by members of boards of directors, by staff members and other employees, and by other participants, can become important motivating influences.

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[2] *Ibid.*, pp. 12-21.

Three: technical purposes include the more specialized, planning, or production or service efforts used to assure the maximum use of technological or professional skill. With the recent advances in professional skill in social work, such purposes have particular relevance in community service organizations. They directly affect the quality of services provided. They are, it should be recognized, subsidiary purposes; they are merely means for implementing the basic purposes of the organization. Absorption in technical or professional procedures or refinements—in case work, in group work, in physical education, in community organization—can obscure, and even conflict with, humane considerations.

Obsolescence can develop in social welfare services as well as in an industry. Obsolescence of plant or equipment can ordinarily be readily detected, although in a community service organization it is often tolerated to the point of inefficiency of operation and ineffectiveness of services. Obsolescence of services—the continued use of outmoded methods—is sometimes hidden by tradition or community apathy.

Executives of social agencies have a special responsibility to see that specialized skill and technical procedures are not used in ways inconsistent with organization purposes and, at the same time, are utilized fully to provide effective services consistent with those purposes.

Four: the profit-making purpose has special applicability to business corporations. Profits ordinarily mean the net surplus earned by a corporation after all proper operating costs, fixed charges, depreciation and obsolescence charges are met. From this net surplus, dividends are paid and provision is made for expansion, for liquid reserves, for dividends in less favorable years, and for other contingencies. Profit is a means of measuring net monetary gain and a means of continuing the business.

Community service organizations do not aim for a "profit" or net monetary surplus. They do ordinarily aim to operate without loss, within an established budget. They do need to secure operating funds sufficient to carry through periods of low income. They need reserves of some type. Depreciation reserves are not usually established, although they are becoming more general practice for income-producing units. Funds for rebuilding obsolete structures or new ones are usually secured in special campaigns. Endowment funds are used for stabilizing services. In one way, the problem of financial management is more difficult in community service organizations: funds are not only limited, but the needs for service are such that agencies plan to "break even"—no deficit, no unspent balance, a difficult feat. In any event, nonprofit organizations face most of the financial administration problems any organization encounters, and expert executive leadership is required to meet them adequately.

Five: personal aims are involved in all types of organizations. The desire for recognition for work well done, for status with fellow workers, for a sense of achievement recognized by others, and similar personal impulses are involved wherever people do things together. Staff members in social agencies work to help other people solve their problems or meet their needs. But staff members have their own problems, their own needs. Executives themselves need commendation; they need a sense of accomplishment.

Organizational aims and personal aims sometimes conflict with each other. When they can be made to coincide, they are potent forces to make organizations vital.

Six: public aims and purposes exert an influence on organizations. Businesses are influenced by consumer opinion. Social agencies also depend upon favorable public opinion, for financial support and for acceptance and use of their services. Public opinion gets incorporated in legislation, such as social security, employment practice, and financial reporting requirements. The broad base of financial support developed for community agencies through community chests has brought public pressures on many such agencies. Services supported by the whole community are expected to be available to the whole community, sometimes without cost. The purposes of the organizations, as well as their services and their clientele, can thus be influenced.

Every organization is subject, to some degree, to such a diversity of aims and purposes. Some purposes appeal more strongly to certain people than do others; for instance, the functional aims, related to philanthropic interests, will have great appeal for some persons, while others will be interested in the personal values they see for themselves—in the services or in the job. Some reasonable reconciliation of different aims must, however, be achieved. Clarification of aims and reconciliation of aims constitute an important leadership responsibility.

Do Purposes and Process Really Conflict?

The central purpose of the administration process has been described as achieving the purposes of the organization itself. Yet the administrative process, and the executive leadership which makes it function, often becomes more involved with certain aims than with others. An organization does not have one aim; it has many aims. For example, if technical efficiency is considered a primary aim or purpose, the personal aims of workers or members may be minimized or violated. If functional, or community service, aims are given complete priority, a social agency may find itself trying to justify substandard wages or other working conditions which deny reasonable personal life to workers. Balancing a social agency budget may be done, in times of emergency or exceptional need, at the cost of urgently needed services. Balanced budgets are necessary under ordinary circumstances; they represent a worthy, if supplementary, organizational aim. But there may be times when the need for service outweighs, for a time at least, the other purpose.

The purpose of the administrative process in a business may be to make useful, reliable products, to sell them at a profit which will produce a return on the investment. Yet in business, a triple responsibility is being recognized: to investors or owners, to consumers, to employees.

Social agencies have the same triple responsibility: to the people who create and support the organization; to their members and clients; and to their employees. A community service agency seeks to provide the most extensive services of good quality possible, at the lowest reasonable cost. At the same time, the administrative process will provide for meeting the needs of individuals—employees as well as clients and members.

Administrative procedures in some organizations are at variance with the purposes for which the organizations were created. But when administration is consistently seen as the means, the vehicle for furthering the organization's purposes, the aims and processes need not be in conflict.

Getting Purposes Accepted

The acceptance of organization purposes cannot be taken for granted. The lack of clarity, in many organizations, is one factor in not securing acceptance. Different personal backgrounds and personal needs are another. The variety of types of purposes creates situations where some purposes are accepted, and others rejected.

Multiple-service social agencies face additional difficulties. For example, a leisure-time service agency will find some members interested in one feature, in one aim, in one sport or one educational activity. They may be totally disinterested or even antagonistic to some other aim, such as the agency's concern to provide such activities for all people, regardless of ethnic or religious background. They may resist having people who are different from them included in activities or services.

It must be recognized that people come to, or come into, an organization for many different reasons. Sometimes their stated reason, or the reason they admit to themselves, is not the fundamental one. For instance, a parent may come to a family agency to discuss a financial problem, or a child-parent relationship problem. The real problem, however, may be in the husband-wife relationship, which in turn may have roots in their earlier relationships with their parents. Or a young adult may come to a leisure-time service agency to join a craft class or an outing club, when the basic reason may be the desire for friends with whom satisfying social relationships may be established.

Acceptance of the full range of an organization's purposes may not be necessary or desirable for all the people in an organization. An organization is often composed of many people, with different individual purposes. A variety of purposes to meet such varied needs is necessary. Then, too, as one personal need is met, or purpose is achieved, the presence of other purposes may serve as a stimulus for growth. Association with others with different aims is in itself a growth stimulus.

Employees often develop loyalties which identify them with organizational objectives. Simon points out that this loyalty may have two aspects: to the service goals of the organization, or to the conservation and growth of the organization itself.[3] He indicates that there is an area of acceptance within which such individuals act "organizationally." When the organization demands go beyond this area, personal motives become more influential.

Identification is recognized as a fundamental factor in group cohesion. When a person identifies himself with a group, he begins to judge alternatives in terms of their consequences for his group. As a person identifies himself with a group and its interests, the aims of the group, to a large degree, also become accepted.

Acceptance of aims, by employees, clients, members or others, depends primarily on communication. Morale, to a large extent, depends upon unity of purpose. People need to be exposed to the purposes of others, to the purposes of the organizations with which they are affiliated. They need to help share in formulating and reformulating aims. They need to see how they are helping to carry out the purposes of the organization.

Executives need to be ". . . experts in the clarifying, articulating, and purifying of aims, in assuring the relative appeal of the several prevailing or possible ends, in bringing about their persuasive communication, and in supplying the supporting conditions which make acceptance of them likely throughout the organization."[4]

Keeping Purposes Vital

If purposes are to become accepted, they must be kept vital. Organization aims, at their best, represent the composite aims of the persons related to the organization. Their current personal needs, then, become an important factor in group purposes. What clients now need, what members are interested in now, what employees think and feel now, are thus critical factors. Aims and purposes are being reformulated constantly by most individuals. Organization purposes should also be under continuous scrutiny. They should be freshly stated, in words that have meaning to current participants. They should have relevance for the present, not be voices from the past.

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[3] Herbert A. Simon, *Administrative Behavior* (New York: The Macmillan Company, 1948), p. 198.

[4] Tead, *op. cit.*, p. 23.

Keeping Purposes and Processes Consistent

Many of the conditions for keeping purposes and processes consistent with each other can be identified. They involve, among other factors: (1) aims and processes which take into account the personal purposes and needs of the different individuals and groups involved; (2) effective and efficient internal operation of the organization which helps achieve such purposes by accepted means; (3) a service or a product which engenders pride; (4) a feeling of participation in doing the work of the organization; (5) an assurance of reasonable continuity, both of the organization itself and each person's relationship to it.

The responsibility for keeping purposes vital, for achieving the purposes, by means which are consistent with the stated aims, is one shared by everyone related to the administrative process in the organization: by the board of directors, the chief executive, other staff members, other employees, members, clients, other friends of the agency. It is a continuous responsibility. Agency executives, particularly, must keep reminding themselves, and everyone else connected with the organization, that "it is possible to achieve desirable ends only by desirable means." Furthermore, they must work constantly to help everyone see that desirable ends can be achieved only by means consistent with them.

SUGGESTIONS FOR FURTHER READING

BARNARD, CHESTER I., "The Economy of Incentives," *The Functions of the Executive*, pp. 139-160.

SIMON, HERBERT A., "Loyalties and Organizational Identification," *Administrative Behavior*, pp. 198-219.

TEAD, ORDWAY, "The Nature of Organization Aims," and "The Acceptance of Organization Aims," *The Art of Administration*, pp. 7-41.

CHAPTER SIXTEEN

Participating in Community Action

COMMUNITY SERVICE ORGANIZATIONS, in providing services to individuals and groups, usually find themselves dealing more frequently with problems and with the effects of social conditions, than with the underlying issues or causes. Considerable restlessness and often a sense of frustration develop because of this fact.

The administrative process in social agencies inevitably includes a concern and a responsibility for community action of certain kinds. Private social agencies particularly, as Frances H. Scherz has written, usually consider that they have two major responsibilities: to provide direct services to individuals and families, and to participate in and provide leadership for "community-wide planning and social action for human needs."[1] They believe not only that they should provide service to individuals and families after they get into trouble, but that they should help to determine what other community resources should be developed and that they should help to develop such resources. Leisure-time agencies, and community-planning and interagency financing bodies, such as chests and councils, find themselves trying to help people deal with unwholesome community conditions; they, too, find themselves confronted with community conditions which need changing.

Social agencies and social workers encounter difficulties, however, in participating in community action. Criticism often develops, within an agency and in the community generally, when an agency sponsors or supports legislation or takes other action. Social agencies are expected by many people to limit themselves to providing services, not to "get into politics" or deal with controversial issues. The taxation question also becomes involved: social agencies are exempt from taxation, in many states, on the basis that no major part of their activity is influencing legislation. Individual staff members also face a complicated situation: their personal rights as individual citizens, their loyalty to their agency, and their feelings of obligation to help bring out needed community action become intertwined. For agencies and workers in agencies which are organized primarily for social action, such as civil rights or housing organizations, the problem is less complicated. For agencies and workers in agencies which provide services to individuals and groups, and which also become concerned about undesirable community conditions, the problem is a difficult one.

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[1] Frances H. Scherz, "Criteria for Defining Program and Emphasis in the Family Agency," *Social Casework*, March, 1951, p. 107.

Different Roles of Workers

Professional staff members in community service organizations obviously have four different roles: First, they are citizens, with personal rights and obligations. Second, they are members of a profession, which has its own code of ethics, its standards and goals. Third, they are agency employees: their organization needs community good will if it is to function effectively; some of them are executives who are responsible for the effective functioning of their organization. Fourth, they are also members of other community groups—churches, fraternal groups, political parties, social groups. These roles sometimes seem to conflict with each other.

The fundamental rights of all citizens have been stated by the President's Committee on Civil Rights as (1) the right to safety and security of the person, (2) the right to citizenship and its privileges, (3) the right to freedom of conscience and expression, and (4) the right to equality of opportunity.[2]

Do social workers abrogate these rights when they become employees of social agencies? The American Association of Social Workers, the largest and most inclusive professional organization of social workers, strongly upholds the rights of individual social workers. Their official statement recognizes that rights cannot be dissociated from responsibilities, that legal rights are modified by professional ethics and responsibilities. The official statement states in part:

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[2] See The Report of the President's Committee on Civil Rights, *To Secure These Rights* (New York: Simon and Shuster, 1947), pp. 6-10.

> Social workers have the right to hold and express opinions and to act in accordance with their beliefs, except as such actions may infringe upon the equal rights of others.
>
> a. The right of association and membership in any organization, including the right to engage in any organizational or political activity and to be a candidate for public office.
> b. The right to join a union, hold office therein, and engage in union activities.
> c. The right, in cases of disagreement with agency policy, to appeal to the wider community on the basis of objective and substantial evidence and only after all due effort to effect change has been made through agency and professional channels.
> d. The right to advocate, support, or oppose legislation.[3]

This statement clearly gives the position of the largest social work professional organization. The several other professional organizations in social work, however, have taken no official position. Many individual workers, too, undoubtedly have reservations about the extent to which, and the conditions under which, they would claim all these rights.

The problem of reconciliation of the four different roles of individual social workers, and the problem agencies themselves face, can be illustrated concretely: the executive of a family service agency was a member of the Committee on Social Action of his State Conference of Social Work. This committee was supporting FEPC legislation under consideration in the State Legislature. His own agency board was divided on the question; they took no formal action. If his own agency board had taken a position of opposition to the legislation, his position would have been even more difficult. In this case, his right to act on the basis of his convictions, as a member of a committee representing another organization of which he was a member, was recognized by his agency board. Another executive, in the same city, had a more difficult experience: she was criticized severely by members of her own board for her participation; her agency lost a small foundation grant because its executive was "mixing into legislation." Managing personal and organizational roles sometimes involves difficulties.

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[3] "Civil Rights in Social Work," *Standards for the Professional Practice of Social Work* (New York: American Association of Social Workers, 1951), pp. 14, 15.

Different Points of View

Different points of view sometimes exist in community service organizations about questions of community action. The members or clientele of a large social agency are likely to represent a cross section of community opinion. Most of these people have come to the agency to avail themselves of the services. The greater the variety of services offered, the wider the representation of different social and economic groups, racial, religious, and age groups, the wider the range of opinion on social issues is likely to be.

Different points of view are also likely to exist among board members and professional staff members. If the agency has been organized specifically to deal with a social problem—such as a Consumers League or a Housing Association—greater unanimity is more likely to be present. Sharp differences about both goals and methods sometimes exist among groups definitely organized to further social action in a certain field. In other social agencies, which major on providing case work or group work services, wider differences of opinion are often encountered. Board members are more likely to associate themselves with the agency because of its major, direct services. The business or social relationships of some of them may make direct social action seem undesirable or even embarrassing to them. Other board members are eager to support certain changes. Differences of opinion often exist also among professional staff members: some see their role, and that of their agency, as helping people; responsibility, they feel, for changing underlying conditions rests with others. Other professional workers become weary of helping people to solve problems; they believe that some of their efforts, at least, should be devoted to preventing the problems. Sometimes sharp cleavages develop between the board and professional staff as groups; sometimes both board and staff are united on some matters and divided on others.

Special Opportunities of Private Agencies

Private or voluntary social agencies usually have greater latitude in dealing with social action questions than public or tax-supported agencies. Executives in public agencies do frequently have opportunities to provide information, and judgments based on their experience, to committees and commissions studying new legislation. Executives and other staff members in voluntary agencies, however, ordinarily have greater freedom to advocate social change.

One of the major functions of voluntary agencies is to emphasize ideas and services not generally accepted by the public in general. Their special emphases and services make it possible for them to capture the interest of people who are specially interested in the ideas and services around which the agency is organized. They are relatively free to engage in programs with religious or cultural objectives. They can often deal with controversial issues. They can make conscious use of program to bring together people from diverse groups to develop understanding of issues on which people differ. They are reasonably free to evaluate the current social scene, and to pioneer in the development of ethical and social insights and standards.

Voluntary agencies are limited, to a considerable degree, by different concepts about what the agency is organized to do, and by the differing personal viewpoints of members, clients, board members, and staff members. On the whole, however, their role as pioneering, experimental organizations gives them considerable freedom to further consideration, and sometimes to support, of specific proposals aimed to bring about change.

Different Roles Agencies and Workers Can Play

Social agencies and social workers can perform at least three distinct roles in relation to community action: (1) *They can* *fulfill an educative function;* they can help other staff members and board members and member groups to expose themselves to facts and conditions; factual printed materials, trips to slum areas, attendance at legislative hearings, and other educational projects can help people to understand the need for changes. (2) *They can help to provide for action* by parts of their organization which have studied problems and feel constrained to take action. For example, the YWCA has for years provided for action by member sections, such as a business or industrial girls' department, on matters of special concern to them, without necessarily committing the whole organization. (3) *They can, on occasion, encourage official action by the entire organization,* or at least its governing body, when matters arise within the scope of the agency's purposes or services and on which there is unanimity of opinion.

When staff members are dealing with clubs and councils, in the course of meetings, discussion groups or forums on public issues, as well as with committees or with the board, a special obligation exists for them to help make the best possible facts, and representatives of different points of view, available. Such groups should be encouraged to select their own areas of interest, problems about which they are concerned, not those in which a particular staff or volunteer worker is especially interested. These groups can be helped to see what they can do through other groups and what action they may decide to take as individuals.

Professional staff members, and sometimes board members, feel obligated to take personal positions on public matters. Sometimes their agency has taken no position, either through lack of concern, or because it does not seem appropriate to certain influential persons, or because some people or some groups in the agency take an opposing position. Professional workers are likely to be known in the community more closely in terms of their agency relationship than on any other basis. They cannot completely dissociate themselves from their agency. If they feel constrained to act, however, they should make it as clear as possible that they are acting as a member of some other group or as an individual. Their individual, citizenship rights must be maintained. Such rights should be exercised, however, in ways that will not only not impair their usefulness to their agency, but not handicap its work, as far as this is possible. It may be necessary, in cases where wider differences of opinion prevail, supported by deep convictions, between official agency and individual worker positions, for a worker to resign. Under most circumstances, however, differences of opinion can be respected, personal integrity maintained, and responsibility to one's agency, met.

Criteria for Community Action

Many matters of community action, in which a social agency engages in the course of its own work or jointly with other agencies, often under the auspices of the community chest or community council, do not involve sharp differences of opinion. For example, conducting an annual chest campaign for funds, studying needed services in a particular area of the city, dealing with a department of the city or state government to clarify policy or to change certain regulations are usually quite noncontroversial.

On both noncontroversial and controversial matters of community action, however, thinking is likely to be clearer and action wiser if definite yardsticks or criteria can be kept in mind. Arthur E. Murphy, in *The Uses of Reason,*[4] suggests the following test conditions for deciding whether some proposed social action is intelligent: (1) that reliable and adequate information on relevant matters of fact be available; (2) that the proposed plan or outcome seem both desirable and possible; (3) that the outcome be accepted as morally good and valid; (4) that the outcome be supported co-operatively by those who will carry it through; (5) that the outcome command the morale of all—that it summon them to act on behalf of a commonly identified good.

The Executive's Special Responsibility

The executive of a community service agency has a special responsibility in regard to community action. He is responsible for having the agency function effectively, particularly in performing its major functions. Its secondary or tertiary purposes must also be kept in mind. Preventive effort is becoming more and more important. The executive must maintain a considerable degree of unity of effort in the agency.

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[4] New York: The Macmillan Company, 1943, pp. 187 ff.

At the same time, the personal rights of individuals and the rights of minority groups within the agency must be given adequate protection. The executive can help to maintain a climate where differences of opinion and differences of judgment are expected. He can help board and staff members to develop increasing respect for facts, for frames of reference different from their own, for judgments reached co-operatively.

The executive can protect himself from the sterility of avoiding difficult problems, differences of opinion, or action on basic issues. He can carry the difficult, but necessary, responsibility for bringing matters related to the purposes and services of the agency to the attention of the board. He can help the president to encourage the expression and exploration of varying points of view and positions. He can advise staff members about how they can participate in discussion and act in consistency with their personal viewpoints and their agency relationship. He can maintain his own integrity as an individual, yet provide leadership for his agency in providing necessary services and in taking its appropriate part to make the community better. It is a responsibility that is often perplexing, but it is one that is inescapable and, frequently, extremely rewarding.

SUGGESTIONS FOR FURTHER READING

"Civil Rights in Social Work," *Standards for the Professional Practice of Social Work* (New York: American Association of Social Workers), pp. 14, 15.

MASLEN, SIDNEY, "Guideposts to Social Action," *Proceedings, National Conference of Social Work* (New York: Columbia University Press, 1941), pp. 642-651.

VICK, HOLLIS, "The Role and Responsibility of Voluntary Agencies in Building a Total Recreational Program," *Selected Papers in*

Group Work and Community Organization (Columbus, Ohio: National Conference of Social Work, 1952), pp. 28-32.

WITTE, ERNEST F., "The Role of a Professional Social Work Association in a Democratic Society," *Social Work Journal*, January, 1950, pp. 5-8.

CHAPTER SEVENTEEN

Keeping Administration Efficient

The obligation to keep administration efficient is no less in community service organizations than in business or industrial organizations. It is another central aspect of the administrative process in social agencies. Community service organizations operate largely, if not exclusively, on funds provided by the community. These funds—whether they are secured from contributions as in voluntary agencies, or from taxes as in public agencies—come from people in all income levels, many of whom are low-income people. The need for the services such agencies provide almost always exceeds those that can be provided with available funds. Social agencies are under special obligation to make their resources count.

The fact that such organizations work in the interests of the people in the community, that their purposes are primarily humanitarian purposes, that their volunteer and employed workers are, as a whole, people of high motivation, does not lessen this responsibility. If anything, it increases that responsibility.

The "criterion of efficiency," as Simon calls it, is, however, more complicated in its application in noncommercial than it is in commercial organizations. In commercial organizations, the profit objective is a major, though not the sole, measure of efficiency. Money provides a common denominator for measuring both output and income. "Input"—that is, income or receipts—can be largely measured in money terms for both commercial and noncommercial organizations, although there are some exceptions in both types of organizations. The results of the work of noncommercial or community service organizations, their product or "output," however, can rarely be measured in monetary terms. Other accurate measures are also lacking. The problem of judging efficiency is therefore more difficult in nonprofit, service organizations. It is nevertheless just as necessary.

What Efficiency Is

If, as Simon indicates, "... efficiency is a basic criterion of administrative choice,"[1] it is well to examine what efficiency is. It is, as he states, using the shortest path, the cheapest means to desired goals. In other words, efficiency means securing maximum returns from the use of energy, time, funds, equipment in carrying out the work of the organization, in attaining its purpose.

Efficiency is more than a dollar-saving, hour-counting, mechanistic theory of administration. "Efficiency," moreover, is here used as different in meaning from "effectiveness." Effectiveness relates primarily to the quality of the services in relation to the need. Efficiency is primarily a measure of the services provided in relation to resources. In Chapter 9, "Keeping the Services Effective," consideration was given primarily to effectiveness, or the quality of services provided in relation to need. This chapter will deal primarily with the problem of efficiency, the services in relation to resources.

Efficiency, according to the *Encyclopaedia of the Social Sciences,* is, in a sense, a ratio between input and output, effort and results, income and expenditure, cost and results. The problem of the social sciences, and of social service organizations, is that input and output can rarely be measured in comparable units, of either energy or dollars. Any efficiency ratio, therefore, must be in relative terms.

Efficiency and Organization Purposes

In terms of Simon's description of efficiency, the degree to which goals have been met relative to the resources which are available suggests that organization objectives are of great importance in determining efficiency.

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[1] Herbert A. Simon, *Administrative Behavior* (New York: The Macmillan Company, 1948), p. 121.

One problem is that social agency goals are usually stated in highly general terms. "To improve health," "to provide recreation," "to develop good citizens," "to help people make social adjustments," suggest values which are sought, but they do not provide sufficiently concrete criteria to measure results accurately. Furthermore, some agencies have multiple purposes between which choices of relative emphasis must be made.

Some quantitative measures have been developed in relation to the services of social agencies, such as how many cases, how many groups, how many volunteers, how many hours or other units of service. Some progress has been made in measuring "movement," or progress of individuals or groups toward desired goals, as described in Chapter 9, page 110. Factors have been identified and classifications developed. Rating devices and some other methods for making judgments less subjective have also been utilized.

Despite such limitations, the purposes of a social agency remain as a major factor in determining how well resources have been used. Have funds and other resources been used in the ways which are most likely to carry out the purposes for which the organization was created? Have the choices not only been wise, but have maximum possible results been obtained? Such questions can as yet be answered only in terms of degree, but they are basic questions for agency boards and executives to face.

Applying the Criterion of Efficiency

The criterion of efficiency, according to Simon, demands that out of several possible alternatives, the one be chosen which will produce the largest result for the expenditures of resources.

Available resources are always limited. This is true in commercial as well as noncommercial organizations. It is the reason that time and money are considered as costs. (In noncommercial, community service organizations, the limitations of resources are usually even more striking.) Because resources are always limited, choices have to be made. Administrative choices can usually be posed as choices among alternatives having the same cost, but different possible result-values.

Some cautions regarding the application of efficiency criteria should be stated. Efficiency is sometimes used exclusively in dollar terms: what is the cheapest way to do it, not how can the funds to be spent produce the largest and best possible result. The desire for efficiency can cause confusion between "means" and "ends." Efficiency does not mean, when accurately used, that a questionable or unworthy method can be used to accomplish a worthy purpose. Efficiency does not imply ruthlessness, a neglect of means and an absorption in ends. Efficiency must always take into account ethical considerations.

Ways of Encouraging Efficiency

Efficiency can be encouraged in an organization in several different ways. Selection of competent staff members, and proper training in their responsibilities is basic.

Various control measures can also be established as described in Chapter 10, "Securing and Handling Finances." A budget is fundamental. Agreed-upon goals for different types of income, based on experience, are an important part of a budget. Types of expenditures, also based on experience, and plans for the period ahead are included. Periodic reports to supervisory personnel, with income and expenditures for the month, summarized for the year to date and compared to the year's budget items, provide a means for knowing at what points special caution or unusual measures may be needed to keep within the year's estimates. Proper interim authorizations for expenditures on larger items, by use of requisitions, give additional protection. Good equipment, well maintained, is important to efficient operation. Judicious use of norms and standards can be helpful. Supervisory conferences to discuss unexpected or unusual problems provide a basis for deciding on any further action which may prove necessary.

In fact, many of the means proposed for directing personnel and operations in the earlier chapters on "Keeping the Services Effective," "Securing and Handling Finances," and "Operating Buildings and Other Facilities," have a direct bearing on securing efficiency of operation.

The attitudes of staff members and other employees is a key factor in securing efficiency. There must be a conscious willingness to work—individually and collectively—so that the maximum result will come from every investment of time, energy, or funds.

Efficiency and effectiveness are interrelated. By understanding their implications, executives can guide their organizations to fulfill one of their central responsibilities, to measure up to the criterion of efficiency.

SUGGESTIONS FOR FURTHER READING

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SIMON, HERBERT A., "The Criterion of Efficiency," *Administrative Behavior*, pp. 172-197.

TEAD, ORDWAY, "Administration for Collective Co-operation," *The Art of Administration*, pp. 163-178.

CHAPTER EIGHTEEN

Understanding Authority and Leadership

AUTHORITY AND LEADERSHIP are essential elements in the administrative process. An understanding of them is fundamental to the effective carrying out of executive responsibilities.

Community service organizations face particularly perplexing problems about authority and leadership. Public social agencies have the support, in fact, the authority, of law behind them. They can ordinarily compel compliance to rules and regulations. Private or voluntary agencies rely almost entirely on assent. In all types of social agencies, however, consent is stressed to a considerable degree. People can best be helped with their problems, people can best be helped to develop and grow, it is believed, when a mutual sense of responsibility is developed. Staff workers and other employees operate most effectively in democratic administrative settings. Their development, their satisfactions are considered important. What *is* the role of authority and leadership in social agencies?

Some penetrating administrative questions arise: Must authority be commensurate with responsibility? Can people be held accountable for the work others do, if they do not have authority to direct them? What is authority? Is it the right to issue instructions, to issue orders—and to have them obeyed? Is the "right to hire and to fire" necessary to maintain authority?

What is leadership? Is it different from authority? Is authority the *power to make people do things,* and leadership the *ability to persuade people to do things?* Does authority always have a "big stick" in the background? Or, is leadership merely a pleasant way of exercising authority? Does democratic leadership rely on persuasion rather than power? Is there any authority in such administration?

Ideas about authority and leadership have obviously been changing—in business and industry, in government and education, and in social work. Executives in social agencies need to understand the nature and types of authority and leadership, their sources, and the ways in which they function.

Traditional Concepts of Authority and Leadership

Traditional concepts of authority and leadership have centered primarily around "knowing what to do, how to do it; the ability to do great deeds, to compel or persuade others to follow." These concepts can be summarized as (1) the powerful person, (2) the manipulator, (3) the expert:

The powerful person. Authority and leadership have often been identified with persons who exercise power over others. Many great military leaders and some outstanding business and industrial leaders have been of this type. They have been people who decided what they wanted to do, who made their plans, who enlisted followers. Such leadership resulted in obedience of followers rather than in their voluntary participation. It was authoritarian in nature, with one person making decisions about what a group should believe and do and then directing their efforts to his predetermined ends.

Such leadership and such exercise of authority was not always ruthless: it was sometimes kindly and beneficent, and was often highly regarded. People have often submitted themselves to it willingly and wholeheartedly, especially in times of confusion and anxiety. Such leadership has proved useful during emergencies and in critical situations.

The manipulator. Authority and leadership have on occasions been used to manipulate others. Such a person makes shrewd moves to accomplish what he desires. He sometimes uses the forms of democracy. He frequently conceals his methods and his goals. He knows what he wants; he *uses* others to attain his ends.

The expert. People who develop specialized knowledge and skill often achieve positions of leadership and authority. Their opinions are respected and accepted. Their special training, experience, and ability has qualified them as expert in a particular field.

Expertness is valuable—it is necessary—in fields where a high degree of specialization has developed, such as in physics and chemistry, and in applied fields such as electronics, medicine, psychiatry, industrial research, and in government. Expertness is necessary in social work, both in the direct services and in executive leadership.

Expertness involves certain hazards, however, particularly in relation to leadership and authority. Expertness in one area is sometimes confused with omniscience. People highly qualified in one field may seek, or be led into, positions of influence in other fields where their expertness does not apply. In a complex society, areas of specialization often overlap. Expertness is usually a specialized, not a generalized, characteristic. It can function properly only within its own sphere.

Limitations of traditional concepts. The limitations of traditional concepts of leadership and authority are becoming quite generally recognized. The powerful person, the popular person, the influential person, the manipulator, the expert—all involve concepts about human personality which seem either inconsistent or inadequate. Authority and leadership, it is increasingly believed, must be appropriate to democratic relationships. They must produce both efficiency *and* satisfaction. In fact, current administrative leadership recognizes that efficiency depends, to a large degree, upon the satisfaction participants secure.

Authority and leadership, appropriate to democratic relationships, are complex matters. They involve a number of factors: position, influence, competence, ability; they also involve feelings and attitudes. They are important in the administration of social agencies.

Changing Concepts of Authority and Leadership

Changing concepts of leadership and authority have been emerging and have been becoming more widely accepted. The "top-team leadership" as contrasted with the "one-man leadership" in great corporations has resulted both from the development of far-flung, complicated organizations and from the recognition that people work more effectively when they share in responsibilities. The changing patterns reflect efforts to apply democratic concepts. The insights of the social sciences and the findings of considerable research tend to support these changing concepts.

Considerable confusion still exists about the nature of leadership and authority, about their functions, and about the ways in which they are most effectively exercised. A number of the characteristics of the changing patterns can, however, be quite clearly identified.

Authority is reinterpreted. Authority is being reinterpreted by students of administration. Barnard emphasizes the necessity of *acceptance.* He describes authority as that characteristic of a communication, in a formal organization, which causes it to be *accepted* as governing or determining what a person does, or does not do, as far as the organization is concerned. The authority of an instruction therefore rests primarily with the person who receives it, rather than the person who gives it.

The conditions of acceptance are also becoming understood. Barnard says four simultaneous conditions must prevail: (1) a person must be able to understand and does understand the instruction; (2) he must believe, at the time of his decision, that it is not inconsistent with the purposes of the organization; (3) he must believe that it is not incompatible with his personal interest; and (4) he must be *able* to comply with it.

Authority is effective, in an organization, when a properly functioning system of communication is operating. Such a system includes: known channels to everyone in the organization, as direct as possible; authenticated communications coming from adequately competent persons in communication centers; the complete line of communication used, while the organization is functioning. Only when such conditions are observed is the *potentiality* of assent fully realized. Authority of position must be supplemented by the *authority of leadership.*

Leadership can be developed. The idea that "leaders are born" has persisted for many years. It is related to the trait or at least to the inheritance theory of leadership. Research has indicated that certain minimal abilities may be required of all leaders, but that these abilities will also be widely distributed among persons not in leadership roles. It further indicates that the traits or characteristics which seem to be necessary and effective in one group or situation may be quite different from those of another leader in a different setting. The evidence seems to indicate that when conditions are so managed that widespread, responsible participation occurs, leadership develops. Although great reliance is placed, in many organizations, on leadership training, little objective research has as yet been undertaken to determine the effectiveness of such training. It seems increasingly clear that leadership is not primarily dependent upon a set of innate, personal characteristics, but that it is a role which develops from relationships among a group of people.

Authority and leadership are earned. Leaders are sometimes designated, but leadership must be earned. Responsibility can be delegated, but authority is based upon acceptance. "Real authority is not a power attained by the bestowal of a title, by an entry on an organization chart, by the issuance of a directive. . . . Real authority must be won by the action of the executive himself. His appointment to office merely gives him an opportunity to demonstrate his qualities of leadership, to win the esteem, respect, and support of members of the organization. . . . Leadership does not become effective until it is accepted by all who participate in the enterprise."[1]

Position in an organization and prestige previously won undoubtedly influence the acceptance of leadership and authority. Continuously demonstrated capacity to carry co-operative efforts through to completion, however, is the primary way by which leadership and authority are earned.

Situations primarily determine leadership. The focus of leadership studies has shifted from the characteristics of leaders to the situation in which leadership is exerted. Leaders are ordinarily found to be above the average of their group in intelligence, in their ability to communicate, in their inner drive for achievement, and in certain other general qualities. But beyond such characteristics, the demands of a particular situation largely determine the leadership which is accepted and the accompanying authority which is granted. Leadership is seen in what a man does, where he does it, and with whom he does it.

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[1] Melvin T. Copeland, *The Executive at Work* (Cambridge, Mass.: Harvard University Press, 1951), pp. 5, 12. Used by permission.

Leadership is displayed in the interaction between members of any group. Leaders are conceived to be "change agents"—to be "expediters of co-operative effort." Leaders are tested by their alertness to the needs and feelings and expectations of members of their group, by their ability to establish conditions of communication and acceptance among group members, by their ability to guide group planning and group decisions. They are also judged by their ability to develop leadership within the group, for leadership is a function of group relationships. It is seen in the dimensions of co-operation.

Leadership and authority often shift. Leadership and authority often shift from one member of a group to another, as situations develop which require different types of knowledge and skill. Minimal leadership abilities are obviously required. Leadership thus becomes sharpened. The question becomes, not does this person have leadership ability, but does he have the qualities which will make him a satisfactory leader in *this* situation?

The way in which the members of an executive committee, composed of unusually able men, work together often illustrates how leadership passes, temporarily, from one person to another. When an insurance question is being discussed, an insurance man may be called on to express an expert judgment. A corporation executive, chairman of the finance committee, comments from a broader point of view. The discussion later turns to a personnel matter, and a man who employs a large number of workers and an educator both speak from their experience. The chairman, after stating the problem, lets the focus shift from man to man, and when a consensus seems to be reached, summarizes and suggests an appropriate action.

Authority becomes centered in mutually accepted goals. Common purposes and commonly accepted methods become the basis for acceptance of authority. Authority, like leadership, can then shift from person to person, as different members of the group demonstrate their ability to help the group achieve their common purposes.

A degree of centralization of authority and leadership is inevitable. Certain persons will become accepted as having the ability to help crystallize group goals, of helping to develop consensus of judgment. An agency executive naturally symbolizes authority and leadership. He probably actually provides more leadership, because of his added experience and his ability. But his executive competence will be determined, to a considerable degree, by his capacity to utilize the abilities of others in the organization, by his capacity to disperse leadership and authority appropriately throughout the organization.

Leadership evokes participation. The type of leadership here described placed a high premium on participation:

> We measure the effectiveness of the new leader not in terms of the leadership he exercises, but in terms of the leadership he evokes; not in terms of his power over others, but in terms of the power he releases in others; not in terms of the goals he sets up and the directions he gives, but in terms of the goals and plans of action persons work out for themselves with his help; not in terms alone of products and projects completed, but in terms of growth in competence, sense of responsibility and in personal satisfactions among many participants. . . ."[2]

Such leadership seems particularly appropriate for community service organizations which seek to help people solve their problems and to help people develop and grow. Social agencies depend upon voluntary leadership to a great degree. Their methods involve extensive participation of members and clients, as well as of volunteer and paid workers. Executive leadership for such organizations will note with great interest the changing patterns of leadership and authority in other organizations and will undoubtedly seek to experiment further with them.

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[2] L. K. Hall, quoted in *YMCA Yearbook and Official Roster, 1953,* C. M. Carey, Ed. (New York: Association Press, 1953), p. 11.

Accountability still exists. The emphasis on the new concepts of leadership and authority that leadership qualifications are inherent in many people and are not unique possessions of a few persons, that leadership may shift as situations change, that wide dispersion of authority and leadership is both possible and desirable, does not mean that less accountability exists. Not merely participation, but responsible participation, is required. More emphasis on co-ordination, more skill in supervision are necessary. Executive leadership will be tested by its ability to hold people accountable for responsibility delegated to them, for the plans they make, for the results they achieve. In addition, the group itself becomes responsible for the actions of the leaders it has come to accept. It becomes responsible for the way in which the authority it has delegated is used.

Studies in business and industry show that these new patterns of leadership and authority are effective. High-production groups of workers were found to have supervisors who took responsibility for several of the functions of leadership—planning, providing materials, and co-ordinating. The supervisors of such groups were also more inclined to delegate responsibilities to others in the group and to encourage members to make decisions and to take initiative in many activities. Leadership and authority of this type seem to get more done—more thinking, more action, more final products, and of even greater importance, more enhancement of human values.

Forces Which Influence Authority and Leadership

The development of leadership and authority in an organization, their acceptance and their distribution, are undoubtedly influenced by a number of forces. Many of these forces are subtle in nature; some of them grow out of the deep emotional needs of both leaders and other participants, of which they themselves may be unaware. Some forces are rooted in the organizational pattern; others emerge from the particular situation being faced. Moreover, the forces which influence authority and leadership are often interwoven; they cannot be isolated or understood independently. They may be better understood, however, if they are discussed in three groups—(1) those relating to organizational structure, (2) those relating to personality factors, (3) those relating to situational requirements.

Organizational structure. Organizational structure inevitably defines and limits, to a considerable degree, the roles different members play in the organization. The very process of defining responsibility defines the limits of participation. It also sets the requirements of co-operation with others and defines relationships with superiors and subordinates. Organization therefore inevitably sets up barriers to participation, as well as means of facilitating it. Leadership roles are similarly defined and limited.

Organizational structure also provides certain leadership sanctions. They are the prestige of position, the influence which comes from the hierarchy which has been established. Such sanctions must, of course, be supplemented by acceptance.

Leadership and authority are, in a measure, aspects of organization. Members of an organization are differentiated as to the influence they exert on the organization, at least in so far as the prestige of position can determine authority and leadership.

Personality factors. The need different individuals face for recognition from others, the degree of security they need in their relationships with others, and the strength of their drive for achievement are likely to be influential forces determining patterns of authority and leadership. A sense of security apparently comes for some people through dominating others; for others, a sense of security is achieved through submitting to someone "in authority"—by having someone else make necessary decisions. Core characteristics of personality are involved: the individual's self-regard and self-acceptance; the way an individual perceives social reality and the meaning he attaches to it; whether his orientation to the world around him is friendly or hostile, confident or uncertain, co-operative or competitive.

The acceptance of leadership and authority is likely to depend, to a very large degree, on such personality factors.

Situational requirements. Obviously, the situation being faced will influence the type of leadership which is needed. For example, a sudden accident to a transcontinental passenger airplane requires leadership quite different from that needed for an informal class discussion. So in a social agency, disaster relief requires different leadership qualities than long-term planning demands. A different type of expertness is involved, technically and temperamentally. So in a social agency, different situations will often need different types of leadership.

The qualities, characteristics, and skills required are determined to a large extent by the demands of the situation. Leadership and authority are functional relationships to specific individuals in specific situations.

Situations usually influence the acceptance of authority and leadership. Emergencies often thrust people forward who can act decisively. The exercise of authority and leadership often depends upon what member of the group grasps salient facts most quickly and presents them most persuasively. Experience, ability, expertness develop prestige. The basis for authority and leadership is very often the capacity, the understanding, the judgment, and the imagination shown by certain individuals in regard to the situation they face.

Authority and Leadership in Community Service Agencies

Both leadership and authority are essential in community service agencies. The work of such organizations must be done effectively and efficiently. It must also be done, however, in accordance with their basic purposes. Community service organizations have much more in common with the changing concepts of leadership and authority than with traditional patterns.

The primary concern of traditional leadership was to keep the organization strong and to get its work done. Authority was a means of accomplishing these purposes. Concern for the individuals involved was a secondary consideration at best.

The methods and purposes of the newly emerging concepts of leadership and authority are more consistent with the purposes and methods of community service organizations. They are concerned primarily with people. Opportunities to utilize patterns which distribute leadership and authority, which seek to evoke leadership ability wherever it resides, which rely on widespread participation, are extensive in social agencies. Committees and member-councils, boards, staff groups—all provide innumerable experiences for participation.

New methods for discovering and enlisting leadership will undoubtedly be required in the future. More imaginative means for developing and training leadership will also prove necessary.

Leadership and authority thus become means of achieving group purposes. They become ways for meeting responsibility. Board and committee members, participant-members and clients, professional staff members, and other workers can all participate in developing patterns of leadership and authority which are highly productive and satisfying for participants, and which are consistent with concepts of the dignity of persons and of democratic relationships.

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CHAPTER NINETEEN

Integrating Lay and Professional Experience

THE UTILIZATION OF LAY and professional experience, in combination, is one of the greatest sources of strength in community service organizations. It is an aspect of the administrative process in social agencies which vitally influences its effectiveness.

It is also one of the greatest sources of confusion. It is one of the major causes for feelings of frustration on the part of both volunteers and staff workers. Lack of clarity, apparent overlapping of functions and responsibilities, sometimes usurpation of roles, make this mutual relationship, in many cases, less satisfying and less productive than it could be.

It should be noted that this joint use of lay and professional experience is not unique to social agencies. It is used, in varying degrees and in different ways, in many business and industrial organizations, educational institutions and governmental bodies. For example, most corporations have boards of directors, most of the members of which are not operating executives of that particular business. Local public schools have school boards or school committees, as well as educational executives and teachers. Private schools—secondary schools, colleges, and universities—have their boards and their professional staffs of educators. In government, the legislature and the Congress establish policies through the laws they make, and executive branches and departments carry them out. In certain divisions, like the Department of Defense, lay secretaries develop and interpret policies, and career workers direct the services. The lay-professional relationship varies among such organizations. It also differs, to a considerable degree, from the lay-professional relationship in community service organizations. The differences need to be understood, lest they become sources of confusion. The wide use of this joint relationship, however, suggests how valid it is currently and, even more, potentially.

Many aspects of this question have already been discussed in the earlier chapter on organization, and in the chapters on board and staff responsibilities, financial administration, and others. These additional observations are offered here, however, because the relationship infuses every aspect of organizational life in social agencies. As such, it is a central aspect of the administrative process and a continuous concern of executive leadership.

Growing Professionalization

The increasing professional education available to and required of staff members in community service organizations has intensified the lay-professional relationship problem.

The value of more thorough professional education and training can hardly be questioned. The rapidly developing knowledge about human growth and development, about physical and mental health, about community forces, should obviously be utilized. As a matter of fact, services in hospitals and other health agencies, in schools, in family, children's, and youth agencies, have been greatly improved as insight and skill have developed.

The respective roles of lay and professional persons connected with these organizations have changed over the years. In fact, they are still changing. For instance, in hospitals, boards now deal primarily with policy and management problems: they deal with such questions as what services will be rendered, to whom, at what cost? What facilities and funds will be needed and how can they be secured? In case work agencies, professional workers have taken over almost complete responsibility for direct services; use of volunteers, however, is again being explored, particularly in work with the aging.

Leisure-time agencies use volunteers extensively in their work with groups. Club leaders, special activity leaders, functioning under the supervision of trained staff workers, provide much of the face-to-face direction of many of the services. In some organizations, staff workers have continued to perform functions which are not specific professional services, but re-examination of their role is quite widespread. The emphasis on the professional role has made necessary many adjustments in the lay-professional relationship.

The movement toward professional status in social work, apart from professionalization itself, has also complicated the relationship. Some board members have not understood the new relationship; some have been unwilling to accept the "expertness" of staff members. Some professional workers have undoubtedly overemphasized their professionalization. Professional status must be earned: it is not automatically conferred by virtue of education or years of experience.

Persisting Lay Roles

Despite a changing and more influential role for professionally educated staff members, the lay or volunteer role has persisted as a very important one. The role is a necessary, fundamental one. Community services are financed by the public; they rely on public good will and public confidence; they serve large numbers of people; they spend large sums of money. Board members, who through their social and business relationships have themselves won community confidence, are needed to (1) validate the services, (2) help assure needed funds, (3) determine policies and approve plans (4) oversee the work, (5) interpret the services. Professional workers cannot themselves fulfill these functions.

Volunteer workers are needed, and will continue to be needed, for other functions: to help plan services, to lead clubs and other group activities, to do work which undergirds professional services with individuals and groups, to free the too limited number of professional workers for services which require the background of specialized training and long experience. The large volume of services needed, combined with increasing costs and limited funds, will make volunteer services more, rather than less needed.

Usurping Functions

Although increased clarity about the appropriate, respective roles of lay and professional workers has been developing, considerable usurpation of functions, by both professional and lay people, can still be observed. Some professional workers, as they have grown in competence and as their conception of their own role has expanded, are inclined to take on policy-making functions. They should help to formulate policy, as they interpret needs they see and recommend plans they consider wise. They must continuously make executive decisions which interpret and, at times, practically make policy. But review of any such necessary action, and final determination of basic policy and procedure, is a board function. Some board members, too, assume executive roles as they make operating decisions more properly the function of the agency executive or other administrative officials.

Clear conceptions of the respective roles, and mutual confidence in the capacity of the persons in the other role, can eliminate this problem.

Separate and Shared Responsibilities

Each group—lay people and professional staff workers—has its own specific responsibilities. The lay forces assure services appropriate to the community, within the proper function of the agency, as they guide its work by establishing policies and overseeing its services. The staff members' role is (1) to direct the services or program, (2) to maintain proper quantity and quality, (3) to maintain a smooth-running organization, (4) to relate the work to that of other similar agencies in the community, (5) to evaluate the work constantly and seek ways to improve it, (6) to advise the board on any necessary revision of policy and adaptation of services.

Any such delineation of functions reveals some apparent overlapping of responsibilities. Without close working relationships, dual responsibility would result in duplication and confusion. More accurately, however, certain responsibilities are shared between board and staff. The experience and judgment of both groups are needed. The broad analysis of respective functions—that both groups help to formulate policies, that the board adopts policies, and that staff members execute or carry out policies—is an accurate, but oversimplified interpretation. Board and staff members are both concerned about the type and quality of services, about operating procedures, about community relationships, about financial stability, about community confidence. They work at such problems, however, in different ways.

A Coequal Relationship

The relationship of lay and professional forces in a community service organization is essentially a coequal one. It is that of equal partners in a common enterprise. It is not that of superior and subordinate; neither lay nor professional workers are, because of their roles, superior to each other.

Lay workers are not necessarily less expert than are professional workers. Many volunteers do not "volunteer." They are sought, secured, sometimes "drafted." They are sought, in many cases, because of their expertness in their own field. For example, an educator who serves on a program committee, a city planner who helps redesign a camp, a corporation executive who serves on a finance or investment committee, brings his own expertness to the work of the organization. He fills a different role as a board or committee member than he does in his own organization. In the social agency, lay workers advise, help to make plans and policies. In their businesses, they participate in such decisions, but they also execute plans. The latter function, in the social agency, is the function of the staff members. The expertness which lay members bring to the work of a community service organization is one that could not ordinarily be purchased.

Professional workers, who are well trained and experienced, have their own expertness. It is expertness in the field of working with people. They have no monopoly on this training and experience. In many cases, it has been possible for them to concentrate on working with people, whereas a business or industrial leader has also had to develop competence in producing and distributing products, while working with people. Professionals can usually merit confidence and respect by the way they work, by the judgment and foresight they display. They are not inferior because they work for the organization. Conversely, they are not superior because of their position. Their status will depend, to a large degree, on the expertness they display.

Differences between individuals in the two groups will obviously exist. Superior persons, more expert persons will be found in both lay and professional groups. Differences in background, in educational and cultural experience, in economic status will also often exist. But the differences are individual differences, rather than group differences.

This coequal relationship, with recognized expertness in each role, functions most effectively when mutual confidence and respect exist. Clarity of understanding of the two related but distinctive roles, and skill in functioning within one's assigned and accepted role, are fundamental.

The President's and Executive's Relationships

The relationships which board members—and particularly the president—and the executive establish with each other are of special importance.

The executive usually has more contacts with board members and the president than other staff members have. His interpretations of problems, of work in progress, of the work of different staff members are likely to be very influential with the president and with other directors. The executive will carry full responsibility for staff direction and for staff decisions. He will maintain communication between staff members and board, and between members and clients and the board. He will help the president to keep in touch with the ongoing work of the organization, sometimes through personal contact with services and with staff members, sometimes through reports and summaries. He will help the president to function as the lay leader of the organization and as the leader and presiding officer of the policy-making, overseeing, legally responsible body of the organization, the board of directors.

The president, on the other hand, will serve as a close co-worker of the agency executive. They will confer together about immediate problems and long-term plans. The president will avoid any tendency to carry operating responsibilities; he will support the executive in the executive role. They will together plan agendas for board meetings; they will consider committee appointments and the progress of committees. They will be continually looking for ways to make democratic processes operate more effectively throughout the organization. They will work together at ways of discovering and improving leadership.

The presidency of a social agency is different from that of a college or university, or of most business and industrial organizations. The president is not the chief executive officer of the social agency. He is in fact the chairman of the board. In a social agency, he has no authority to execute or to determine policy. The executive seeks his counsel and usually follows it. He may on occasion, however, decide he has to follow another course. The president may be asked to interpret a policy and to advise on major operating problems. But the president will conceive his role to be primarily that of board leadership.

Mutual confidence in each other, relaxed personal relationships, and respect for each other's judgment are fundamental to effective president-executive relationships.

Community service organizations, which depend so much on both lay and professional leadership, quite generally recognize that not only are both essential: they realize that they are essential in combination. It is in the integration—the fusing—of these two sources of potential strength that one of the great forces for improved services lies. Professional workers have a special responsibility to become skillful in integrating lay and professional experience. The professional role is that of "facilitator," as "enabler." It is that of helping competent, socially minded, oftentimes highly expert people from different fields to blend their efforts together in effective service for their community. Wise executives will focus on lay-professional relationships as one of the critically significant factors in the administrative process.

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CHAPTER TWENTY

Widely Distributed Satisfactions

WIDE DISTRIBUTION OF SATISFACTIONS, among staff members and other employees, among volunteer workers, and among members and clients, is one of the most important criteria of effective democratic administration in community service organizations. It is a primary goal of such administration, but also a result. It is an essential element in the administrative process.

A social agency, it has repeatedly been said, is a group of people working together toward a common end of helping people to solve their problems, of helping people to develop and grow. As people connected with the organization work together productively toward such goals—goals which are a combination of their personal and of organization objectives—they find a basis for such satisfactions.

The Importance of Satisfactions

Responsible participation, by different persons related to an organization, is one of the requirements for effective joint activity. The "law of satisfaction" has long been recognized as a fundamental law of learning. People tend to repeat what they come to find satisfying. They learn as they repeat satisfying experiences. Satisfaction is one of the important ingredients of effective working together, and it has come to be accepted as having certain specific values:

Satisfaction is a source of morale. Morale has been described as the "condition of a group where there are clear and fixed group goals that are felt to be important and integrated with individual goals; where there is confidence in the attainment of these goals, and . . . confidence in the leaders, associates, and finally in oneself; where group actions are integrated and co-operative. . . . Morale is a complex resultant of the strength of three directional forces: (1) forces that bind the members to a common goal; (2) forces that bind the members to their leaders; (3) forces that bind the members to themselves."[1]

People work together with enthusiasm for some end which they learn is yielding them some identifiable good. The desirable ends they recognize is the basis of their satisfaction. They find organization purposes satisfying to the degree that their own personal purposes are met.

Satisfaction increases productivity. Research in industry has clearly demonstrated that feelings of personal satisfaction increase productivity. In the classic Hawthorne studies, Roethlisberger formed two groups who enjoyed working together. In one group, lighting, ventilation, and other working conditions were improved. In the other group, such conditions were deliberately left unimproved. Productivity increased markedly in both groups. The satisfactions derived from working with congenial people evidently outweighed other factors. Later research, dealing with other sources of satisfaction, has substantiated the conviction that the personal satisfactions workers find in their work, and in working together, increase productivity.

Although little similar research on satisfaction in work has been conducted in social agencies, there seems good reason to conclude that it directly influences both the quantity and quality of work performed in such organizations.

Satisfaction is a stimulus to growth. Feelings of satisfaction regarding one's work and one's work associates can be a major stimulus to growth and development. Mace, previously quoted, found in his study of industrial organizations that growth opportunities constitute the real incentive for growth, at least among able younger people. The "law of learning" applies to this factor: people repeat what they do with satisfaction; they learn, they develop and grow, as they repeat certain experiences. The satisfaction must have a sound basis, if it is to be a stimulus to growth. It must be satisfaction in achievement, satisfaction in work well done, and satisfaction in movement toward defined purposes.

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[1] *Psychological Factors in Morale,* A Report on a Conference held November 2 and 3, 1940, under the auspices of the Divisions of Anthropology and Psychology, National Research Council.

Satisfactions for Participants

All employees in an organization—clerical and maintenance workers, skilled artisans, case workers, group workers, supervisors, department heads, branch executives, general staff executives—need such satisfactions from their work. Loyalty to an organization—its purposes, its work—is likely to be increased, as satisfactions permeate the entire working force. Tenure is lengthened, internal relationships are improved, work becomes more effective as the "quotient of satisfaction" rises and influences every member of the employed group.

A social agency will achieve maximum effectiveness in the community as satisfaction with its work, and with experiences with the organization, spreads to members, clients, and volunteer workers connected with it. Participation is greatly enriched when satisfactions are evident. Volunteers give their time more generously when they are confident that their efforts are contributing usefully to the work of a well-managed organization which is providing a needed community service. Members and clients use the services more frequently, they participate more regularly and with greater results when they find the experience satisfying to them. The public relations of an agency also improve as everyone connected with it speaks with pride and enthusiasm about it.

Foundations for Satisfaction

A number of different factors which constitute foundations for satisfaction have been identified in administrative studies. Most of them have been discussed in previous chapters and need only be summarized here. Adequate wage and salary provisions and other measures of economic security are important to all workers. Opportunities to improve one's condition in life, to raise one's standard of living, to increase one's stature and standing in the community, are inevitably involved. Every worker needs to feel that his work is important, that he as an individual is respected, by his fellow workers, his supervisors, his friends, and his neighbors.

The following factors merit special emphasis:

Working conditions. The physical conditions under which people work are important to them. Cleanliness, orderliness, proper equipment, ventilation, light, and other physical factors not only tend to promote efficiency but they contribute to feelings of personal worth and dignity.

Clarity of assignments. People work better and find more satisfaction in their work when they know definitely what they are expected to do. They need to know on what basis their work will be judged.

Compatibility. Most people work more effectively in groups where personal relationships are compatible. Animosities often block communication. Workers who resent their supervisors rarely work well for and with them; they often find it difficult to learn from them. The reasons for suggestions and instructions are likely to be misinterpreted.

People with different backgrounds and different frames of reference can learn to work together. Moreover, close personal relationships can handicap working relationships, especially between staff workers and executives.

The tendency of groups to work well together, on the whole, is increased as members of the work group feel that they are accepted by other workers, that they are working for common ends, and that they are all contributing usefully to their joint enterprise.

Security provisions. Retirement and other pension plans, health and accident coverage, Social Security, and a feeling that one's job or position will be continued, that the company or organization has a sound future, are necessary factors underlying satisfaction for employees. Provision for emergencies and for old age are especially important to workers with family responsibilities.

Confidence in supervisors. The confidence workers feel in their supervisors is a major foundation for satisfaction. Staff members and other employees need to feel that supervisors, department heads, executives will keep them informed about everything which affects their work and their positions, that they can express their viewpoints without fear of reprisal, that each worker's personal welfare is a matter of concern, that their supervisors and executives are persons of competence, ability, and integrity.

Other Sources of Satisfactions

A number of other factors contribute directly to the degree of satisfaction people feel about their relationship to an organization.

Opportunities to participate. A feeling of full freedom to participate, not only in one's immediate responsibilities, but in other parts of the work of an organization can be a major source of satisfaction. Office workers and maintenance workers, as well as professional staff workers in social agencies, need the feeling of being a useful part of the organization. A sense of belonging is enhanced by an assurance that each person not only is expected to participate fully in the work but that one's participation is useful and important. Community service organizations which have large memberships and a considerable number of volunteer workers find that widespread participation can be a major factor in developing feelings of satisfaction about the work of the organization.

A sense of achievement. A sense of accomplishment is important to paid workers, volunteers, and members. Attention can be focused on personal achievement and on accomplishments of clubs, departments and divisions, and the whole organization. Participation must proceed to the point of getting useful things done, of accomplishing worthy purposes, if it is to be a source of satisfactions.

Carrying responsibility. If satisfactions are to permeate an organization, responsibility must be distributed as widely as possible. Responsibilities are on different levels. They must be adapted to different degrees of maturity and ability. Clubs in a leisure-time agency make decisions about their own activities. Their responsibility is limited. Agency committees and interclub councils may make more important decisions. Supervisors and department heads carry more responsibility than beginning staff members. Executive responsibilities are more diversified and often more important. Responsibility cannot be equalized throughout a social agency any more than it can in a business organization. Responsibility can be distributed, however. To the degree that it can be distributed, in different ways and on different levels, and persons can be helped to carry their particular responsibility well, it can be a definite source from which satisfaction springs.

Opportunities for recognition. As work well done is recognized throughout a community service organization, it becomes a source of satisfaction to participants—paid workers, volunteers, members, and clients. Wage and salary increases are forms of recognition. Fully as important, however, are other ways by which good workmanship is recognized. The technique of commendation is an important supervisory skill. Personal commendation, a note of appreciation, references in staff meetings and in organizational publications often mean far more than people will admit. Recognition both within the agency, and in wider community circles, is important. Staff members and board members can find satisfaction in officially representing the organization with other community groups.

Opportunities to participate in professional society work and professional conferences are not only stimulating growth experiences but are a recognition of professional status. The pride an organization's leadership shows in what its staff members accomplish, within the organization and in their outside community and professional relationships, can be an important factor in staff morale.

Recognition needs to be extended to clerical and maintenance workers as well as to professional staff members. Older workers often take great satisfaction in their length of service. Recognition for competence, as well as for long tenure, can well be extended.

Volunteer workers merit recognition. Most social agencies use volunteer services, the quantity and quality of which they could not buy, even if their funds were unlimited. With rising costs and rising levels of competence in the general population, volunteer service may become even more important in the future. Recognition for volunteers should be graduated appropriately to the work being recognized. Simple services should be moderately and simply recognized. More significant service should be recognized more significantly. Recognition disproportionate to the service rendered, which is excessive in relation to the accomplishment, is self-defeating. Useful service, however, deserves appropriate recognition.

Executive Satisfactions

Executive responsibility was described early in this volume as primarily that of working with and through other people, of guiding and co-ordinating the work of the entire organization.

Executives in social agencies do have their own specific responsibilities from which they can secure satisfactions. In small agencies, they sometimes carry both executive responsibility and some direct-service responsibilities as case workers or group workers.

Most of the satisfactions which come to executives, however, are derived from what other people can be helped to do. They are, in effect, "indirect satisfactions." An executive's satisfactions come largely from helping others to achieve satisfactions—in the work others do, in how they develop and grow. An executive creates the conditions for others to do work well, for groups to work together, for others to achieve personal and group satisfactions by what they accomplish.

An executive can properly take pride in the agency's accomplishments. He rarely if ever will take credit for them. As a matter of fact, the accomplishments are those of everyone in the organization. His function has been to help set goals, to get people to work together.

A social agency executive, like other organization executives, will also utilize dissatisfaction. Evidence of sharp dissatisfaction may mean that decisive action is needed. It may indicate that a critical situation has developed. A degree of "healthy dissatisfaction" also has a distinct function in a community service organization. Goals should always exceed current practice. It is an executive responsibility to jog complacency as well as to increase well-founded satisfactions.

Social agency executives will get their basic satisfactions from what the people in their organizations do together—employees, staff members, board and committee members, clients, and members. They can get satisfaction also from additions to the resources of their agency, from new buildings and equipment, from increasingly well-trained and competent staff members, from stronger board and committee service, from community confidence and prestige.

Their most enduring satisfaction will come, however, as they recall the significant opportunity their work provides: to guide the work of a community service organization dedicated to the basic function of helping people to solve the difficult personal problems our complex modern society creates, and to provide opportunities for growth and development, of "abundant living" for others.

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Appendix

Professional Growth and Training

Professional competence is the objective of every professional worker. In a large organization, opportunities for growth and training are varied and responsibilities are shared. Opportunities exist through the work of cabinets, study commissions, and committee relationships. These must be recognized and encouraged. Training is a mutual responsibility of the *individual,* the *branch,* and the *metropolitan organization.* A division of responsibilities in the Boston YMCA is as follows:

A. Every individual has a responsibility for his own professional growth.

1. Getting acquainted with the community.
2. Developing the job specifications; acquiring the techniques and mastering his job.
3. Improving effectiveness and skill by intelligent self-criticism, study, worship, recreation, rest, and general cultural development.
4. Periodic attendance at summer schools, conferences, and conventions, and other opportunities for advanced education.
5. Active membership in a constituent section of the AOS; also in a related professional society, if it seems desirable.
6. Maintaining working knowledge of the organizational structure of the local, state, national, and World Alliance of the YMCA.
7. Seeking opportunities for counsel from colleagues and supervisors.
8. Initiating and conducting studies as a member of his professional organization.
9. Securing the educational credits and other requirements to achieve certification as outlined in the "Junior Secretaryship Manual."

10. Becoming familiar with recent developments in his own and related fields.
11. Making every professional opportunity a learning situation.

B. Upon each branch rests the responsibility for providing opportunity for individuals to develop as persons and as professional workers. This includes:

1. Coaching and supervision on the job.
2. Orientation of new persons to the job, the community, and organization policies.
3. Assistance in fulfilling requirements for certification.
4. Clarification and implementation of the job description.
5. Directing or instructing the individual in the procedures and techniques desired in the particular assignment.
6. Study, research, or discussion within the staff of problems that are of particular importance to the branch.

C. Upon the city-wide organization, through the Staff Training Committee, is the responsibility for providing the supplementary values that can come from city-wide staff training activities. These include:

1. Orientation courses, whenever necessary. These might include materials and arrangements to help people to know the whole Association and the work of other agencies in the Boston area; "YMCA History and Philosophy Courses," and other special instruction programs for new people in the area.
2. The results of study, research, and training projects developed by such groups as the Executive Cabinet, Areas Committee, Membership Policies Committee, etc. The committee should co-ordinate those activities now going on within the Association that have training significance, and work out ways and means of relating the results to the entire staff.
3. Research or study projects that will provide training benefits to those involved. Arrange to have the results presented to the staff.
4. Courses, institutes, or meetings on topics that will provide professional growth and stimulation, when they seem necessary for the entire staff or a portion of it.
5. A monthly staff program and luncheon: the program is to be related to professional concerns or to topics of importance to YMCA secretaries.

6. An annual Staff Training Conference related to the rest of the training program of the year.

As a basic reference and source book, we recommend to each branch and individual worker the two pamphlets of the National Council on "Manual of Local Staff Training," edited by Messrs. Lancaster, Merriam, and Dimock.

Prepared by
Staff Training Committee
Boston YMCA
October, 1952

Job Description—Social Investigator in Department of Welfare

I. *Description*

The Social Investigator, as an employee of the Department of Welfare, is responsible to that Department's Personnel Division in the establishment of eligibility for public assistance and in the administering of funds and other services.

II. *Duties and Responsibility*

The Social Investigator shall:

1. Investigate each case assigned to her as to eligibility for public assistance.
2. Reinvestigate periodically as to eligibility for public assistance those cases on her caseload.
3. Render services and funds, as needed and as within the framework of the agency, to those who are eligible.
4. Make home visits and collateral visits as necessary to adequately perform the above duties.

III. *Relationships*

In the execution of her duties, the Social Investigator shall work under supervision and in co-operation with the consultant services of the Department.

IV. *Qualifications:*

1. College degree, or two years of college plus two years of satisfactory experience.
2. Three years of residence in city.
3. Satisfaction of Civil Service requirements, including examination.

Prepared by Grace Ford
Boston University School of Social Work

Job Description—Mental Health Consultant

TITLE

Mental Health Consultant

DUTIES

To assist communities in determining mental health needs and to develop facilities to meet these needs; to keep informed on mental health developments on a local, state, national, and international level and bring pertinent information to the attention of the agency director and board; to initiate and participate, as indicated, in educational programs on mental health; to act as consultant to community agencies at their request; to work co-operatively with the State Mental Health Department; to participate in the development of interest in and knowledge about mental health by acting as speaker or discussion leader for groups or agencies; to work co-operatively with other staff members in carrying out the program of the agency.

QUALIFICATIONS

Experience such as may have been gained through employment in administrative, supervisory, or consultant capacity in the field of social work. Knowledge and some experience in community organization.

TRAINING

Graduation from a college of recognized standing with either specialization in psychology or sociology and graduation from an accredited school of social work as a psychiatric major.

Prepared by Matilda Litwin
Boston University School of Social Work

Job Description—Receptionist in a Child Guidance Clinic

1. The Receptionist is responsible to the Office Manager of the clinic, who shall supervise her job performance.
2. The duties of the Receptionist are:
    a. Operating a monitor switchboard.
    b. Meeting patients and visitors in the clinic, directing them to the proper staff member.
    c. Typing of daily appointment schedule—marking visits of patients in case record.
    d. Maintenance of filing system.
3. Qualifications:
    a. High school graduate.
    b. Typing rate of 45 words per minute.
4. The Receptionist acts as a liaison between patient and therapist, and works in co-operation with other staff members toward the effective operation of the clinic.

Prepared by Grace Ford
Boston University School of Social Work

Department of Social Welfare
Division of Public Assistance

Service Rating Chart — Social Worker

Name of Employee______________________________ Date______________

Classification________________ Area_______ District_______ Caseload_________

Length of Time with Present Supervisor____________ With Agency____________

Period covered in evaluation____________

	Unsatis-factory	*Passable*	*Satis-factory*	*Stand-ard*	*Weighted Score*
I. ORGANIZATION a. Work plan and use of time					
b. Case coverage					
II. PRESENTATION OF INFORMATION a. Recorded					
b. Oral					
III. DETERMINATION OF ELIGIBILITY a. Obtaining relevant facts					
b. Use of the facts					
IV. RELATIONSHIPS a. With clients					
b. With the community					
c. With supervisors					
d. With coworkers					
V. COMMUNITY RESOURCES a. Knowledge of community resources					
b. Use of community resources					
VI. PROFESSIONAL INTEREST					

Bonus Points ☐ Demerit Points ☐ TOTAL____________

RATING PREPARED BY____________________ FINAL RATING____________

SCORED BY________________________ DATE____________

Personal Progress Report

For Supervisory Personnel

Name ______________________ Job Title ______________ Code __________

Department ______________________ Period Covered ______________ to __________

ITEMS	*DEGREE*					*SCORE*	
	1	2	3	4	5	Possible	Actual
1. Performance Efficiency							
a. Quantity of acceptable work	☐	☐	☐	☐	☐	5	
b. Quality of work	☐	☐	☐	☐	☐	5	
2. Contacts with Other Persons							
a. Own supervisor	☐	☐	☐	☐	☐	10	
b. Clients, community, other agencies	☐	☐	☐	☐	☐	10	
3. Fitting into Agency	☐	☐	☐	☐	☐	15	
4. Self-Development							
a. Training and study	☐	☐	☐	☐	☐	10	
b. Use of criticism or help	☐	☐	☐	☐	☐	5	
5. Leadership							
a. Plan, organize, and direct department	☐	☐	☐	☐	☐	15	
b. Manage costs	☐	☐	☐	☐	☐	5	
c. Manage personnel	☐	☐	☐	☐	☐	10	
d. Number supervised	☐	☐	☐	☐	☐	5	
e. Contribution to agency morale	☐	☐	☐	☐	☐	5	
					TOTAL	100	

(Fill in below if applicable.)

We recommend this person for:

Promotion to ______________________

Transfer to ______________________

His (her) work performance is (check):

Improving __________

Declining __________

Not changing __________

Signed:

1. ______________________

2. ______________________

3. ______________________

Date rating completed __________

Adapted from form developed for
Greater Boston Community Council

Guide to Salary Review

Name__________________ Age________ Date____________

Present Position__________________ Salary____________

Date of Employment____________ Length of Experience____________

Salary increments with dates__________________

Family obligations, dependents, etc.__________________

	Excellent (Upper 25%)	Good-Fair (Middle 50%)	Poor (Low 25%)
1. How successful is he or she in meeting the demands of the position?			
2. How satisfactory is the quality of his or her work?			
3. How satisfactory is the quantity of work?			
4. How well does he or she carry responsibility?			
5. How much supervision does he or she require?			
6. How valuable is his or her knowledge and skill to this organization?			
7. What specialized training does he or she bring to the position?			
8. What demand is there outside this organization for ability similar to his or hers?			
9. What is his or her standing among other social workers?			
10. What is his or her standing with other community leaders?			
11. Other			

Salaries paid comparable positions in the community__________________

Salaries paid comparable positions in other communities__________________

Recommendations __________________

____

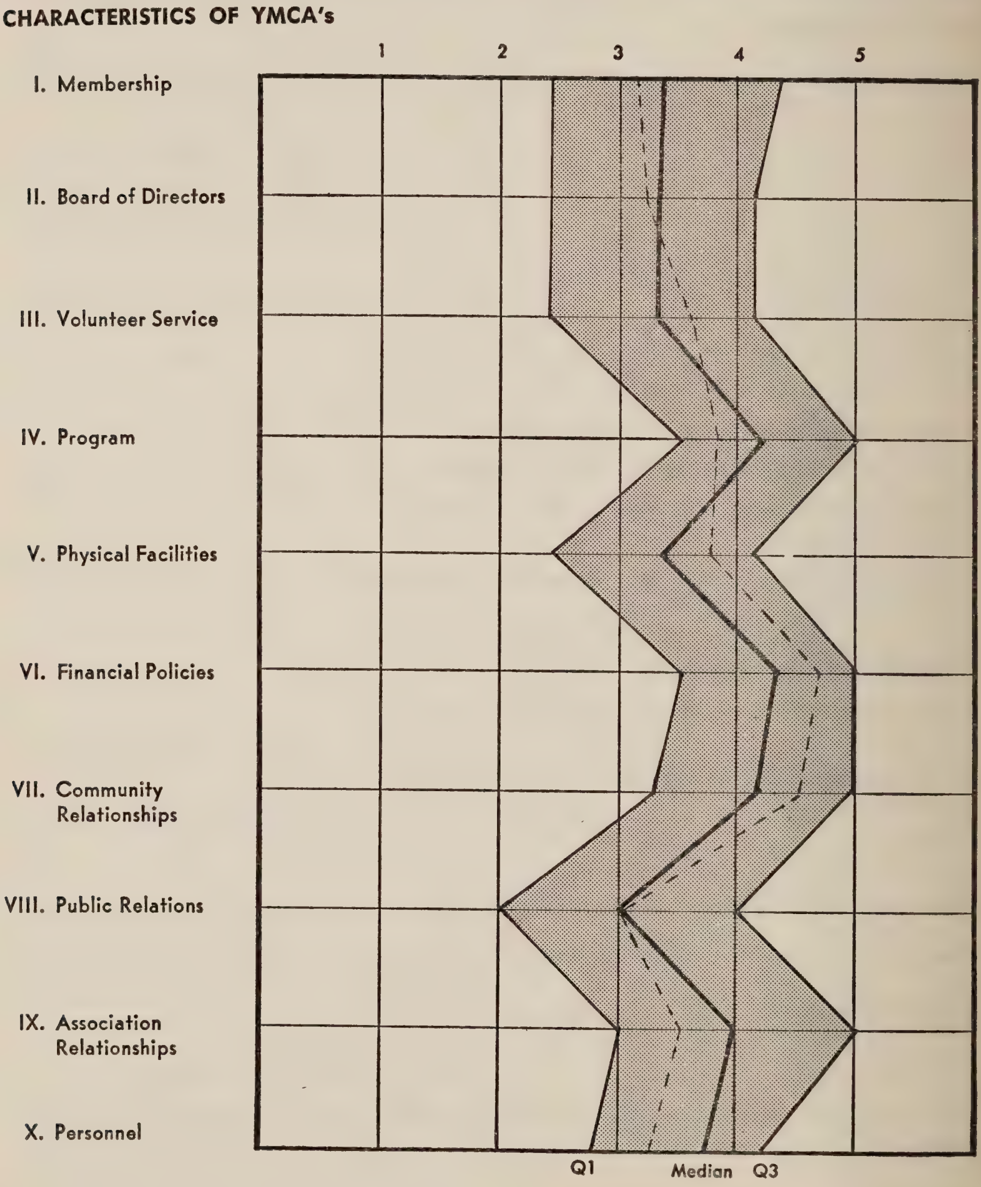
(This review does not take the place of more detailed appraisals—Confidential Achievement Ratings, etc.)

Adapted from
The Executive Role in YMCA Administration,
Gren O. Pierrel, Editor.

PROFILE SUMMARY OF SELF-APPRAISALS FOR 200 YMCA's

POLICIES AND PRACTICES — SCHEDULE A

The heavy black line is the median or midpoint in the scores of 200 Associations on *Schedule A*. The shaded portion represents the middle fifty per cent of the scores. One-fourth of the scores are below the line marked Q1 and one-fourth are above the line marked Q3.



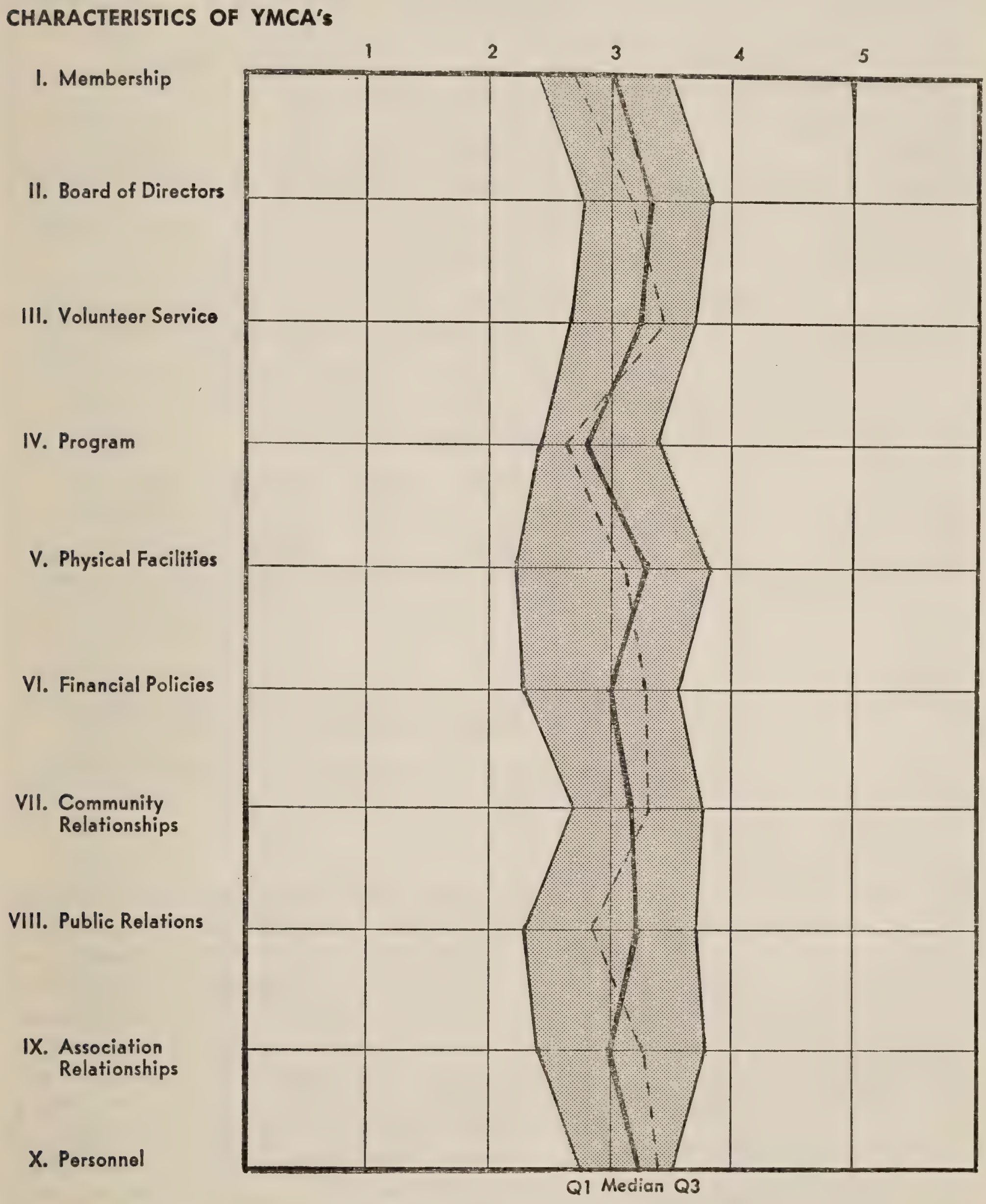
Note: The dotted lines illustrate how the profile of one organization can be superimposed on the composite profile of the 200 units.

From: Self-Appraisal Plan for YMCA's, C. M. Carey, Ray Johns, and Arthur L. Swift, Jr., Association Press, 1951. Profiles revised, 1952.

PROFILE SUMMARY OF SELF-APPRAISALS FOR 200 YMCA's

STATISTICAL SECTION — SCHEDULE B

The heavy black line is the median or midpoint in the scores of 200 Associations on *Schedule B*. The shaded portion represents the middle fifty per cent of the scores. One-fourth of the scores are below the line marked Q1 and one-fourth are above the line marked Q3.



Note: The dotted lines illustrate how the profile of one organization can be superimposed on the composite profile of the 200 units.

From: Self-Appraisal Plan for YMCA's, C. M. Carey, Ray Johns, and Arthur L. Swift, Jr., Association Press, 1951. Profiles revised, 1952.

Testing Results in Social Casework

Data Sheets

Data Sheet 1

Case #

Clients in case: Date Born:

Client's original problem:

Number of client interviews: Collateral interviews:

Date Opened: Date Closed:

Case Summary

Opening Picture:

Data Sheet 2

Case #

Client's name:

	Opening	Closing
AA		
DH&C		
VU		
EC		

Data Sheet 3

Casework Goals

Case #

1. What were your casework goals for this case? That is, what did you expect of these clients at closing?
2. Which of these goals were achieved? Which failed?
3. What % of your casework goals were achieved?
4. What were the factors limiting and facilitating movement in this case?

Data Sheet 4

Casework Responsibility

Case #

1. Which changes in the various clients do you attribute to casework?
2. Which changes do you attribute to other factors? and, What are these factors?
3. What is your estimate of the percentage of the change for which casework is responsible?

Data Sheet 5

Case # Name of Worker on Case:

Clients' Names	*Contact*	*Amt. of Movement*	*% goals achieved*	*% change CW resp.*
	D__I__ D__I__ D__I__			

If scale is not applicable, state why:

Time required for this closing summary and analysis:

From: J. McV. Hunt, Margaret Blenkner, and Leonard S. Kogan, *Testing Results in Social Casework* (New York: Family Service Association of America, 1950). Instructions for using the data sheets are outlined in the same publication. A chart giving instructions for judging movement is also published in *Measuring Results in Social Casework: A Manual for Judging Movement*, by J. McV. Hunt and Leonard S. Kogan. Both volumes should be fully utilized before use of the method is attempted, even by experienced workers.

Name of Group______________________________

Group Evaluation Chart

Name of Leader______________________________

GROUP CRITERIA	TRENDS														
	From To					From To					From To				
	–5	0	+5	+10		–5	0	+5	+10		–5	0	+5	+10	
1. Attendance															
2. Group organization															
3. Group standards															
4. Wider horizons															
5. Social responsibility															
a. To each other															
b. To agency															
c. To community															
6. Enriched interests															
7. Handling conflicts															
8. Leadership and participation															
9. Co-operative planning															
10. Group thinking															
11. Group loyalty and morale															
12. Acceptance of differences															
13. Decreasing need of leader															
	–5	0	+5	+10		–5	0	+5	+10		–5	0	+5	+10	

Please check appropriate place after each criterion.

Prepared by:
Saul B. Bernstein
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School of Social Work

Name of Member__________________________
Name of Group__________________________
Name of Leader__________________________

Individual Evaluation Chart

INDIVIDUAL CRITERIA	TRENDS											
	From To				From To				From To			
	–5	0	+5	+10	–5	0	+5	+10	–5	0	+5	+10
1. Attendance												
2. New skills and interest												
3. New Knowledge												
4. Wider Loyalties												
5. Degree and range of participation												
6. Leadership												
7. Breakdown of prejudices												
8. Status in group												
9. Symptoms of maladjustment												
10. Health												
11. Vocational developments												
12. Educational developments												
	–5	0	+5	+10	–5	0	+5	+10	–5	0	+5	+10

Please check appropriate place after each criterion.

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